DOCUMENT RESUME

ED 212 055 EA 014 328

AUTHOR Lewis, Anne C.
TITLE Evaluating Educational Personnel.
INSTITUTION American Association of School Administrators, Arlington, Va.
PUB DATE 82
NOTE 84p.
AVAILABLE FROM American Association of School Administrators, 1801 N. Moore St., Arlington, VA 22209 (Stock No. 021-00853; $10.95; quantity discounts).

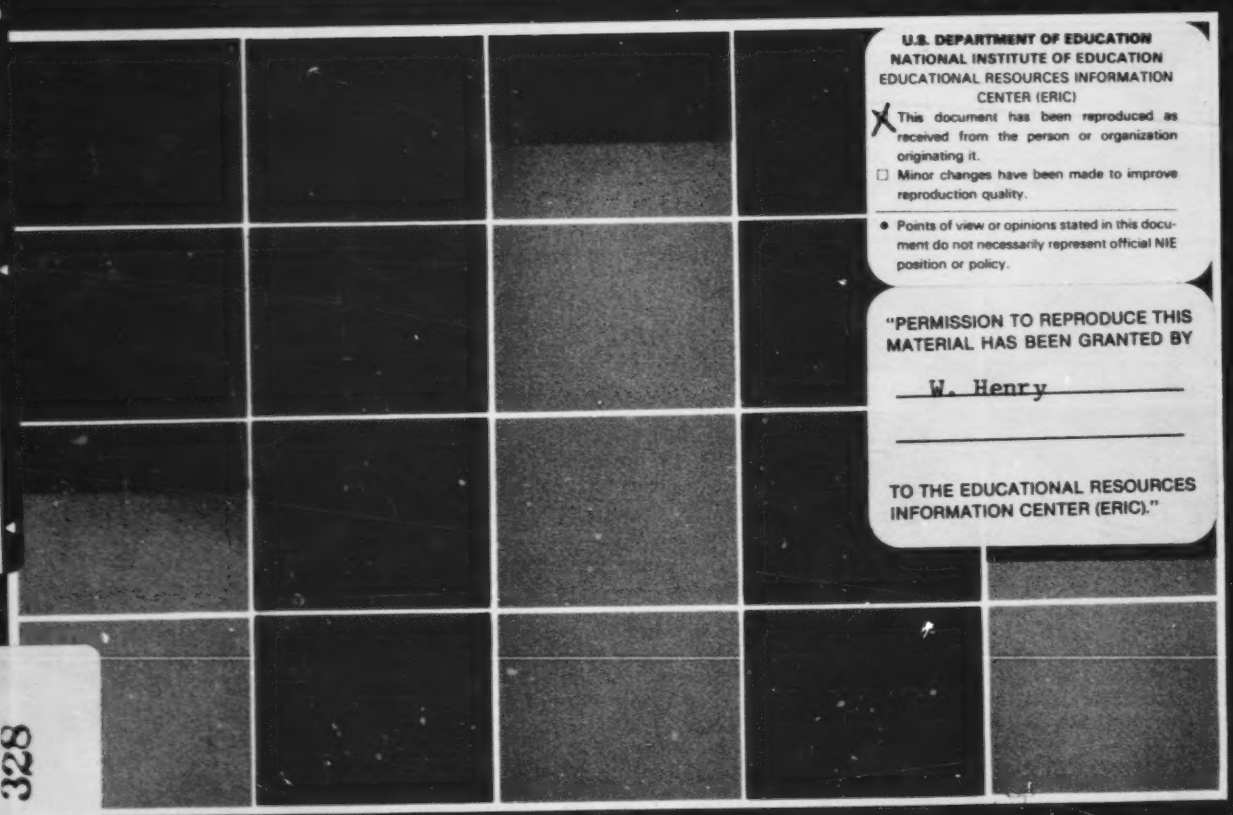
EDRS PRICE MF01/PC04 Plus Postage.
DESCRIPTORS *Administrator Evaluation; Educational Improvement; Elementary Secondary Education; *Evaluation Methods; Evaluators; Instructional Improvement; National Surveys; *Personnel Evaluation; *Personnel Policy; School Districts; Student Evaluation of Teacher Performance; Teacher Effectiveness; *Teacher Evaluation

ABSTRACT

Evaluation of educational personnel presents problems to both the evaluators and those evaluated, maintains this publication. In spite of these problems, respondents from more than 400 school systems replying to a survey indicated that their systems had evaluation procedures. The author suggests that the true challenge to school administrators is to successfully use personnel evaluation to improve teaching. This publication, by sharing survey information and resources from hundreds of school districts, provides an update on the state of the art. Chapters contain checklists, outlines, and evaluation instruments from responding administrators, as well as their points of concern and solutions to specific problems. Topics covered in the seven chapters include an overview of the research on teaching, a discussion of what to evaluate and how to decide on the best approach, and ways for the evaluator to improve effectiveness. The chapter on using evaluation results fairly discusses school board and teacher involvement, and legal protection that exists for teachers. Chapter 6 concerns state legislation that defines what the evaluation process should cover and discusses the issues of testing teachers and students to define competency. The final chapter concerns evaluating the evaluator and contains guides from several school districts for evaluating the principal. (Author/MLF)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

PERSONNEL



ED212055

U.S. DEPARTMENT OF EDUCATION
NATIONAL INSTITUTE OF EDUCATION
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

X This document has been reproduced as received from the person or organization originating it.

☐ Minor changes have been made to improve reproduction quality.

• Points of view or opinions stated in this document do not necessarily represent official NIE position or policy.

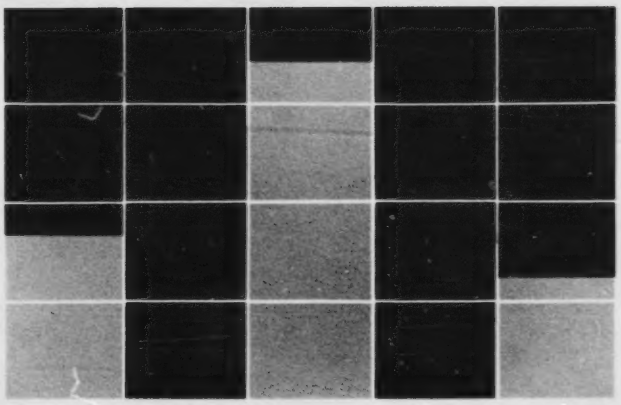
"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY

W. Henry

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

EA 014 328

EVALUATING EDUCATIONAL PERSONNEL



Written by Anne C. Lewis

Publications from the American Association of School Administrators

Evaluation Series
Evaluating Educational Personnel
Evaluating Educational Programs

Superintendent Career Development Series
Books in this series include:
Guidelines for the Preparation of School Administrators
Selecting a Superintendent
The Superintendent's Contract
Compensating the Superintendent (Summary Report)
Compensating the Superintendent (Full Report)
The Administrative Leadership Team
Evaluating the Superintendent

Administrative Team Development Series
Books in this series include:
Selecting the Administrative Team
The Board's Role in Selecting the Administrative Team
Classifying and Compensating the Administrative Team
Classifying and Compensating the Administrative Team (Full Report)

Critical Issues Reports
Books in this series include:
School Budgeting: Problems and Solutions
Declining Enrollment/Closing Schools: Problems and Solutions
Collective Bargaining: Problems and Solutions
Student Discipline: Problems and Solutions
Keeping Students in School: Problems and Solutions
How Schools Can Save Dollars: Problems and Solutions
Staff Dismissal: Problems and Solutions
School Energy Crisis: Problems and Solutions
The Competency Movement: Problems and Solutions

Cassette Tapes
A four-cassette instructional package:
How to Evaluate the Performance of Educational Professionals
School Board Member Self-Evaluation
Evaluating the Superintendent
Evaluating Principals and Central Office Administrators

These materials are available from the American Association of School Administrators, 1801 North Moore Street, Arlington, Virginia 22209. Price lists available. Discounts on multiple copy orders.

Stock Number: 021-00853
Library of Congress Card Catalogue Number: 81-70823
Copyright, 1982 The American Association of School Administrators, Arlington, Virginia

Design by Kim F. Hasten Graphic Design

Points of view or opinions in this book are those of the author and contributors and do not necessarily represent the official position or policies of the American Association of School Administrators.

Table of Contents

Foreword **5**

Introduction **7**

Chapter 1
Evaluation Research:
Studying Good Teaching **13**

Chapter 2
What to Evaluate:
Developing a Measuring Stick **21**

Chapter 3
Evaluation Systems:
Deciding on the Best Approach **29**

Chapter 4
Evaluation Techniques:
Improving Your Effectiveness **43**

Chapter 5
Evaluation Results:
Using Them Fairly **53**

Chapter 6
States and Evaluation:
Pushing for Progress **63**

Chapter 7
The Principal's Role:
Evaluating the Evaluator **73**

Acknowledgments **91**

Foreword

There is ample evidence that our schools have been successful. By most measures, our nation is one of the most viable on the face of the earth. And the schools have served as a bedrock institution, preparing the people who have brought greatness to it.

We cannot rest on our laurels. Our schools are vital to the future of our democracy. The expectations of parents and other citizens are high. Tight dollars and demands for accountability create an added tension. The only way anyone can coast . . . is downhill. We can't do that.

We must constantly try to be better tomorrow than we are today. The American Association of School Administrators (AASA) is committed to the improvement of learning. That goal must become a national imperative. Educators must take the lead in assuring the most effective schools possible.

One way we can improve our schools is through effective evaluation of programs and personnel. To this end, AASA has produced a two-book set devoted to these vital areas of the educational process. Explore the ideas offered in this first book of the set, *Evaluating Educational Personnel*. You will find that we have done more than simply described evaluation systems. We have taken a vital, sometimes missing step beyond . . . we've described how those systems can lead to educational improvement. That, must be the primary purpose of evaluation.

Paul B. Salmon, Ed.D.
Executive Director, AASA

Introduction

Evaluation of educational personnel is tricky, highly political and still has a long way to go. Except for the few researchers who discuss it from a distance and the even fewer administrators who are confident of their skills with it, evaluation generally gets a negative, or at best, lukewarm, rating.

"The practices are unclear and the principles are shoddy," charges Michael Scriven of the Evaluation Institute at the University of San Francisco. "Effective systems of evaluation do not exist in schools today," reports Gary Natriello of the Stanford University Center for Research and Development in Teaching after looking at a ten-year accumulation of literature on the subject. Teacher organizations suggest their members be wary of it. And principals "feel very vulnerable about it," says Stanley Schainker, an evaluation expert with the San Francisco Far West Laboratory for Educational Research and Development.

Yet everyone does it.

Of the more than 400 school systems replying to a survey for this AASA publication, all indicated they had evaluation systems, though these systems ranged from one-page statements of goals for the school year to elaborate procedures of more than 100 pages. Why has this p-actice received almost universal adoption if so few feel comfortable about it?

Because in this highly opinionated area, there is one opinion that counts more than any other—the public's.

For more than a decade, public schools have been trying to accommodate demands for accountability. "Beleaguered teachers and administrators reminisce periodically about the halcyon days when it was assumed that teachers taught and students learned, that completing high school was essential to occupational success and personal development and that college training produced talented teachers who were prepared for the unexpected," says Natriello and others in the introduction to a review of what's been written about evaluation. "But these assumptions are no longer widely believed, and the public is asking hard questions about the effects of schools and teaching. They want some assurance and some evidence that the teachers who teach their children are competent professionals."

Typical of the kind of pressure on school officials is the attitude of state leaders gathered for the annual meeting of the Education Commission of the States in August 1981. Faced with the prospect of having to make hard decisions on state budgets, governors and state legislators alike stood up and said teacher evaluation was the domino that would make all the others fall into place. They couldn't commit themselves to increased funding, they said, unless the public showed greater confidence

7

in the schools—and that depended on good teaching. "Well-designed evaluation methods will be the salvation of the schools, not do them in," Governor Jim Hunt of North Carolina stated flatly. Indeed, evaluation is being viewed as the major tool of accountability by many state legislatures. For example, 14 states have enacted some form of mandated competency exams for teacher trainees, and as of fall 1981, at least 11 others had proposed them.

As budgets shrink and enrollments decline, a successful personnel evaluation program may be one way to reduce staff by some system other than seniority (in districts where this flexibility is possible). And because public schools face the prospect of fewer and less-qualified teaching candidates, according to studies of test scores of education majors, evaluation procedures that guide and encourage improved teaching performance will be even more important.

The problem before school administrators, then, is not one of embracing the concept of evaluation or even of developing policies for it. The true challenge is to successfully use personnel evaluation to improve teaching.

A First Step: Understanding the Problems

Before exploring how to make the evaluation process effective, an administrator should become familiar with the pitfalls. Views about measuring teacher effectiveness are often contradictory, points out Robin Farquhar, president of the University of Winnipeg and former dean of the University of Saskatchewan College of Education. "They range from those who suggest that teaching quality is impossible to measure because of the complexity of the teaching-learning situation to those who hold that teacher effectiveness can be determined on the basis of a 15-minute observation." These contradictions occur, he says, because of some major problems in the evaluation of teaching:

- **Research** —Studies of teaching effectiveness and teacher evaluation have been inconclusive and do not provide clear guides for action.
- **Definition** —Definitions of good teaching, teacher effectiveness and teacher competence are often unsupported by research evidence and are as numerous as the number of evaluators.
- **Complexity and variability** —Teaching effectiveness involves a wide range of human phenomena, qualities and skills. Therefore, the results of teaching must be observed in delayed and inferential fashion. Teaching proficiency is multi-dimensional, and there are many kinds of effectiveness for different kinds of teachers, programs and situations. Teacher behavior varies from one time period to the next. Teachers' classes differ. A teacher's style can only be ascertained if numerous evaluations are made. Situational variables, such as characteristics of the physical setting, the instructional objectives, the resources available, the materials being used and the goals of the institution, must also be recognized and considered when evaluating teaching. Also important are the student's ability and background influence—and the ability of a teacher to teach. In essence, good teaching is a contextual phenomenon.
- **Anxiety** —Evaluation is threatening to many teachers. This anxiety generally causes a deterioration in teaching performance (especially in those aspects related to pupil rapport, interaction, warmth and personal understanding). As a result, performance during an evaluation may not be representative of the teacher's best efforts.
- **Subjectivity** —The evaluation of teaching involves value concepts and value judgments. Evaluators tend not to be guided by any common definition of good teaching or theory of learning.
- **Who should evaluate?** —Many alternatives have been espoused and used—evaluation by external sources, supervisors, principals or deans, department heads, peers, students, teams and self-evaluation. The issues involved in deciding who should evaluate teachers include those of objectivity or psychological distance from the situation versus familiarity with the situation, the use of the evaluation results, the confounding relationships that exist between certain evaluators, the person being evaluated and the qualifications of the evaluator.

Two Approaches: Summative and Formative

"The best evaluation instrument would be a competent evaluator, one who is competent in the discipline area to be evaluated and who is armed with a blank piece of paper and enough time and objectivity to ascertain, within the limits of human capabilities, what was going on in the classroom." This is a definition arrived at by a group of teachers in a workshop and succinctly represents the ideal of what has come to be known as a "formative" evaluation approach. With this approach, the evaluation is used to gather specific information about each teacher's strengths and weaknesses in order to improve individual performance.

By contrast, "summative" evaluations are used to collect a broad sample of information about a teacher's overall performance in order to make administrative decisions, such as salary increases, promotions or dismissals. (See illustration, "Differences Between Summative and Formative Evaluation Approaches.")

The overwhelming concern of those who answered the AASA survey—primarily superintendents and personnel administrators—was on how to succeed with formative evaluations. "How to convey that evaluations are for improvement . . . how to center evaluations around teacher growth . . . how to promote self-governance, self-evaluation and self-respect . . . ways to set mutual goals . . . how to develop a professional improvement plan for each teacher . . . how to relate evaluation to learning improvement of students . . . how to develop a trust relationship in evaluation"—these were some of the key phrases repeated over and over again by the respondents.

Differences Between Summative and Formative Evaluation Approaches

Formative Evaluation

Purpose	**Process**	**Instruments**	**Outcome**
To gather specific information about individual teacher's strengths and weaknesses	Diagnostic Informal Instructional	Conferences Narratives Video tapes Audio tapes Observation schedules Checklists	Improved individual performance Training and retraining The "continuous progress approach"

Summative Evaluation

Purpose	**Process**	**Instruments**	**Outcome**
To collect a broad sample of information about a teacher's overall performance	Formal Legal	Could be similar to those listed above. It depends on how they are utilized.	Administrative decisions re: personnel ("go/no go" decisions) e.g., employment, retention, tenure, promotion.

Source: Robert Bhaerman in *The American Teacher*

"Most evaluation schemes tend to presume that they will affect job security and/or dismissal, when, in reality, this is not so," says Superintendent Fred Sales of Seaford, Delaware. Only a fraction of the teaching staff is ever considered for dismissal, he points out, and "therefore, the whole process should center on improving the instructional program. Is the curriculum being taught? Is it being paced well? Are the instructional goals being met? Are teachers challenging students? Are they finishing the course? How many threw homework away and assigned busywork?"

There is no doubt that as school systems develop policies for evaluation, they are positive-minded. Policies that spell out the uses of evaluation focus on instructional improvement; summative uses are mentioned last.

For example, the Council Bluffs, Iowa, Community Schools list a number of positive outcomes of the evaluation experience:

- A clear definition of the qualities and characteristics of an excellent teacher.
- A constructive approach to self-analysis and improvement.
- A means whereby teacher and administrator can best analyze the professional growth and development of the teacher.
- A provision for the understanding and establishment of better relationships with pupils, other teachers, parents and the community.
- A sensitivity to the importance and wise use of existing facilities in providing better physical surroundings.
- Improved use and care of school equipment.
- Improved teaching ability and classroom technique.
- Provision of a means for identification of teachers' interests, aptitudes and special abilities.
- Improvement in general school morale.
- Commendation for work well done.

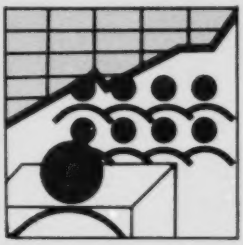
The Cincinnati public schools, giving special attention to "the climate established by the appraisal procedure," have an evaluation program that was prepared by a committee of teachers, supervisors and administrators. "Evaluation is a continuous, constructive and cooperative experience between the appraisee and appraisers," according to the school system's philosophy. "A primary goal is continuous improvement in professional competency throughout the staff member's career in relation to local, regional and national standards. To accomplish this objective, high priority must be given to personnel needs, time and inservice education."

A negotiated statement between the Pearl River, New York, schools and its teachers' association, is typical of the division between formative and summative goals. That negotiated statement gives the purposes of teacher evaluation:

- To improve the individual teacher's instructional skills and overall teaching performance.
- To provide an avenue of communication between the administrator and the teacher.
- To provide the teacher with periodic assessments of progress in attaining specific performance objectives.
- To obtain data for administrative decisions regarding retention, tenure and/or placement of teachers.
- To improve the level of individual and group pupil performance.
- To promote the achievement of district and/or school program objectives.

Getting Results: The Key to Improvement

On paper, linking personnel evaluation with instructional improvement seems possible. And Dick Manatt, educational consultant and professor of educational administration for Iowa State University in Ames, Iowa, insists that results depend on establishing that link. "Performance evaluation alone does nothing. Linking performance appraisals to sound learning theory and skilled supervision succeeds." But as the experience of thousands of administrators across the country has demonstrated, lofty goals and eloquent policy statements—even detailed procedures agreed to by all parties concerned—don't always produce the results everyone wants. Based on the survey for this report, administrators are seeking refinements in the process already in place for most public schools. They perceive personnel evaluation as a science, an art or both needing:



Characteristics of a Good Evaluation Program

- The purposes of an evaluation program are clearly stated in writing and are well known to the evaluators and those who are to be evaluated.
- The policy and procedures of the program reflect knowledge of the extensive research related to teacher evaluation.
- Teachers know and understand the criteria by which they are to be evaluated.
- The evaluation program is cooperatively planned, carried out and evaluated by teachers, supervisors and administrators.
- The evaluations are as valid and as reliable as possible.
- Evaluations are more diagnostic than judgmental.
- Self-evaluation is an important objective of the program.
- The self-image and self-respect of teachers are maintained and enhanced.
- The nature of the evaluation is such that it encourages teacher creativity and experimentation in planning and guiding the teaching-learning experiences provided children.
- The program makes ample provision for clear, personalized and constructive feedback.
- Teacher evaluation is seen as an integral part of the instructional leadership role of the principal and of the program of inservice teacher development.

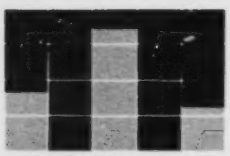
Source: Harold McNally, University of Wisconsin, Milwaukee

- **Better definitions of effective teaching.** Although many evaluation procedures attempt to define effective teaching and teachers, the emphasis seems to be on observation of teacher behavior with little emphasis on how the behavior accommodates learning styles and produces outcomes.
- **More trust in the process.** "How to evaluate people and get them to feel good about it" is how one superintendent expressed his concern. In many places, the "spirit" of evaluation procedures has been so strictured by teacher contract agreements that it is almost "pro forma."
- **Proof of the link between evaluation and instructional improvement.** Until there is some specific indication that the process is worth the trouble, some say it will remain "pro forma." A major issue facing school districts is the use of pupil achievement, measured primarily by standardized tests, as an indicator of teacher performance.
- **More specifics on evaluation techniques.** Conferences, personal goal-setting, classroom observations—these are common to a number of different approaches to evaluation, but administrators want to know how to do them better.
- **More sensitivity to the needs of the evaluator, primarily the principal.** Many participants feel they have neither the skills nor time for successful evaluations. They also are under pressure "to cease accepting marginal services," as one administrator expressed it, "and to become more assertive." What kind of training should they have and how should evaluators themselves be evaluated?

This publication can't answer all these questions. However, by sharing information and resources from hundreds of school districts, it can provide an update on the state of the art. In some ways, this is an interim report on personnel evaluation—it is past its infancy and has fairly extensively designed what is "technically correct." Now, school administrators have begun the search for the humane dimension.

Chapter 1

Evaluation Research: Studying Good Teaching



The jury is still out on decisions that prove either the total value of personnel evaluations or the superiority of one approach over another. That's not very encouraging to those who spend precious time each school year on devising, implementing and revising evaluation policies. The goods news is that the research now accumulating on what produces effective teaching will trigger more sophisticated and useful research on the evaluation of teaching. Although not exhaustive, this overview of the research on teaching helps put evaluation into perspective.

Until recently, some felt the amount and quantity of research was disappointing. After looking at a decade of research literature on teacher evaluation, Gary Natriello of Stanford University concluded in 1977 that the literature "suffers from an accumulation of unresolved issues. . . . The accountability issue has undoubtedly contributed to the sheer volume of material on the evaluation of teachers. But this contribution has also served to cloud the purposes behind teacher evaluation and to politicize the implementation of evaluation systems designed to improve the quality of teacher evaluation."

Two years later, Benjy Levin, writing in *Educational Leadership*, found "little systematic information about current teacher evaluation practices. . . . The entire field of teacher evaluation has suffered from a surplus of opinion and a shortage of evidence."

Levin concluded, however, that what research exists "provides little support for current practices. . . ." He concluded:

- The prevalent system of evaluation for purposes of hiring or promotion through observation by supervisors is sometimes biased and subjective.
- The use of techniques that could have greater promise for providing objective data, e.g. observation instruments or student ratings, is as yet uncommon.
- Schools might do well to involve teachers in the development of supervision and evaluation policies.
- Reliance on a single evaluation technique is unwise.

Updating the Reviews: Results of BTES

A major study on teacher effectiveness, the Beginning Teacher Evaluation Study (BTES), commissioned by the California Commission for Teacher Preparation and Licensing and carried out by the Far West Laboratory has added information on teacher effectiveness. This study, said one review, "has made some impressive strides toward answering the questions of what to measure and how to measure when evaluating teachers."

A more thorough treatment of teacher effectiveness is found in the AASA Critical Is-

Questions for Classroom Observers

Time

- How much time does the teacher actually devote to structured teaching/learning activities related to a particular subject or topic?
- How much time does the teacher devote to nonteaching/learning activities?
- What are these nonteaching/learning activities?
- How much time does the teacher spend directly interacting with individual and/or small groups of students?
- How much time do the students spend on independent seatwork without directly interacting with the teacher, other adults or each other?
- How much time do the students spend asking the teacher for additional instructions or clarification of questions or assignments?
- How much time does the teacher spend reminding students to get back to work on the assigned task?

Engagement

- What percentage of the total time available are students actively involved in structured learning activities?
- Which structured learning activities have a number of students who are not actively involved?
- What specific evidence is there that the structured learning activities that are taking place reflect a teacher diagnosis of students' skill levels?
- In what ways and with what frequency does the teacher directly interact with individual and/or small groups of students?
- In what ways and with what frequency does the teacher provide feedback to students regarding their academic work?
- In what ways and with what frequency does the teacher encourage or force students to interact with the teacher, other adults and/or each other?
- What specific evidence is there that the teacher is identifying distractions or disturbances and is minimizing their disruptive impact on the students' involvement in the structured learning activities?

Success

- What specific evidence is there that the teacher is asking questions and/or giving assignments that the majority of the students can answer or complete successfully?
- What specific evidence is there that the teacher is asking questions and/or giving assignments that the majority of the students can answer or complete successfully?
- In what ways does the teacher state purposes, clarify expectations, give directions and, in general, help students learn what is expected of them?
- What specific evidence is there that students do not understand the teacher's purposes, expectations or directions?
- Who are the specific students who request additional instructions or clarification of questions and/or assignments?
- Which questions or assignments lead students to request additional instructions or clarification?
- Who are the specific students who are reminded by the teacher to get back to work?
- What are the assignments on which students are working when they have to be reminded to get back to work?
- What specific evidence is there that the teacher has structured learning activities to have students work together to accomplish academic goals and to have them assume responsibility for achieving those goals?
- In what ways does the teacher recognize or reward the accomplishments of students in terms of their successful answering of questions and/or completion of assigned tasks?

Excerpted from: Stanley Schainker, Far West Laboratory for Educational Research and Development, San Francisco, California

sues Report *Teacher Competency: Problems and Solutions*. However, no discussion of current evaluation procedures can ignore the implications of the BTES study. Briefly, the researchers developed a measure of student learning called "academic learning time" (ALT), in which the student is spending time on an academic task. The student must be really engaged in and paying attention to the task, and the student must be performing the task with high success. In addition, the study identified what teachers do that increases student learning. These behaviors were found to be diagnosis, prescription, presentation, monitoring and feedback.

Stanley Schainker of the Far West Laboratory has developed some questions, based on the BTES findings, which can translate into measurements for evaluation. (See box, "Questions for Classroom Observers, page 14.)

Assessing Teachers: Georgia's Method

Following the release of the BTES results, another major assessment tool, based on extensive research, came into use in Georgia. The Teacher Performance Assessment Instruments (TPAI), developed at the University of Georgia for the Georgia Department of Education, included 14 competencies considered essential for beginning teachers, distilled from extensive lists submitted by more than 5,000 Georgia educators in 1976. A survey instrument was drawn up with 52 of the most frequently mentioned competencies. The survey was administered to a sample of about 5,000 teachers and other educators. The final criteria were those considered by all to be the most important. They are now being used throughout the state for on-the-job assessments of teachers. (For more on the Georgia method, see Chapter 6; for the outline of the Teacher Performance Assessment Instruments, see illustration on pages 16-17.)

Describing the Teaching Process: What to Watch For

When the BTES findings were released in 1979, Madeline Hunter, professor of education and principal of the Laboratory School at the University of California, Los Angeles, must have said, "I told you so." Since 1973, her research findings on teacher effectiveness have found their way into books, seminars, workshops and many school districts, and she is considered one of the country's top teacher trainers. Her early research discovered how to describe the teaching process, from which she developed a series of questions that comprise a Teacher Appraisal Instrument (TAI). Hunter's research pinpointed these components:

- Deliberate separation of genuine educational constraints from the ethnic, financial, intellectual or emotional excuses that constitute typical and acceptable excuses for learning failure.
- Determination of what a student has already learned and is ready to learn.
- Identification of productive learning behavior for achieving a particular learning task for a particular learner.
- Determination of an instructional objective that is specific in context and perceivable in terms of learned behavior.
- Identification of the principles of learning that are relevant to the accomplishment of the instructional objective.
- Adaptation of those principles to the particular situation of each learner.
- Incorporation of professional ethics as the teacher uses personal attributes plus competence in the specific learning area in order to enhance the learner's probability of success.
- Synthesis of previous decisions in a deliberate design or blueprint for a teaching-learning episode.
- Teacher's observation of the learner in order to augment or correct the decision-making process.
- Constant monitoring of the learner's progress to yield essential current information that may modify or validate the design for learning.
- On the basis of evaluative data, decisions by the teacher on whether to reteach, practice and extend, move on or abandon ship if the objective is not appropriate for the learner at the time.

Outline of the Georgia Teacher Performance Assessment Instruments

TEACHING PLANS AND MATERIALS INSTRUMENT

Teaching Skill	Indicators for Assessing Teaching Skills
I. Plans instruction to achieve selected objectives.	1. Specifies or selects learner objectives for lessons. 2. Specifies or selects teaching procedures for lessons. 3. Specifies or selects content, materials and media for lessons. 4. Specifies or selects materials and procedures for assessing learner progress on the objectives. 5. Plans instruction at a variety of levels.
II. Organizes instruction to take into account individual differences among learners.	6. Organizes instruction to take into account differences among learners in their capabilities. 7. Organizes instruction to take into account differences among learners in their learning styles. 8. Organizes instruction to take into account differences among learners in their rates of learning.
III. Obtains and uses information about the needs and progress of individual learners.	9. Uses teacher-made or teacher-selected evaluation materials or procedures to obtain information about learner progress. 10. Communicates with individual learners about their needs and progress.
IV. Refers learners with special problems to specialists.	11. Obtains and uses information about learners from cumulative records. 12. Identifies learners who require the assistance of specialists. 13. Obtains and uses information from co-workers and parents to assist with specific learner problems.
V. Obtains and uses information about the effectiveness of instruction to revise it when necessary.	14. Obtains information on the effectiveness of instruction. 15. Revises instruction as needed using evaluation results and observation data.

CLASSROOM PROCEDURES INSTRUMENT

VI. Uses instructional techniques, methods and media related to the objectives.	1. Uses teaching methods appropriate for objectives, learners and environment. 2. Uses instructional equipment and other instructional aids. 3. Uses instructional materials that provide learners with appropriate practice on objectives.
VII. Communicates with learners.	4. Gives directions and explanations related to lesson content. 5. Clarifies directions and explanations when learners misunderstand lesson content. 6. Uses responses and questions from learners in teaching.

	7. Provides feedback to learners throughout the lesson.
	8. Uses acceptable written and oral expression with learners.
VIII. Demonstrates a repertoire of teaching methods.	9. Implements learning activities in a logical sequence.
	10. Demonstrates ability to conduct lessons using a variety of teaching methods.
	11. Demonstrates ability to work with individuals, small groups and large groups.
IX. Reinforces and encourages learner involvement in instruction.	12. Uses procedures which get learners initially involved in lessons.
	13. Provides learners with opportunities for participating.
	14. Maintains learner involvement in lessons.
	15. Reinforces and encourages the efforts of learner to maintain involvement.
X. Demonstrates an understanding of the school subject being taught.	16. Helps learners recognize the purpose and importance of topics or activities.
	17. Demonstrates knowledge in the subject area.
XI. Organizes time, space, materials and equipment for instruction.	18. Attends to routine tasks.
	19. Uses instructional time effectively.
	20. Provides a learning environment that is attractive and orderly.
INTERPERSONAL SKILLS INSTRUMENT	
XII. Demonstrates enthusiasm for teaching and learning and the subject being taught.	1. Communicates personal enthusiasm.
	2. Stimulates learner interest.
	3. Conveys the impression of knowing what to do and how to do it.
XIII. Helps learners develop positive self-concepts.	4. Demonstrates warmth and friendliness.
	5. Demonstrates sensitivity to the needs and feelings of learners.
	6. Demonstrates patience, empathy and understanding.
XIV. Manages classroom interactions.	7. Provides feedback to learners about their behavior.
	8. Promotes comfortable interpersonal relationships.
	9. Maintains appropriate classroom behavior.
	10. Manages disruptive behavior among learners.
PROFESSIONAL STANDARDS INSTRUMENT	
XV. Meets professional responsibilities.	1. Works cooperatively with colleagues, administrators and community members.
	2. Follows the policies and procedures of the school district.
	3. Demonstrates ethical behavior.
	4. Performs extra-instructional duties.
XVI. Engages in professional self-development.	5. Participates in professional growth activities.
	6. Shares and seeks professional materials and ideas.

For more about the TPAI system in Georgia, see Chapter 6.

An Important Communications Role

Teachers and other school staff must communicate . . . with each other, with students, with parents and with the community. Communication is, after all, the key to understanding, and educators will be more successful if programs are understood. To be effective, board policy should require and support effective communication programs.

Communications plans should exist for the district, for each building and in each educational program. School staff members should have communications objectives. And, of course, staff members should be evaluated, at least in part, based on how well they communicate.

According to the Aleutian Region School District (Alaska), "one of the major responsibilities of a teacher is that of liaison between the school and the community." A competent teacher, according to district policy, is one who:

- Gets out into the community and gets to know as many people as possible.
- Explains school goals and programs to the community.
- Seeks out community concerns regarding educational problems and needs of the children and does everything possible to meet these needs.

Wise investment of instructional time will take into consideration the fact that learning is incremental, Hunter says.

"Basic learning supports and makes possible more complex learning." Also, there are basic factors affecting learning in all students. Any evaluation of the instructional process must determine whether the investment of time is "consonant" with the "givens" in learning and the increments in learning, she says. Therefore, her Teacher Appraisal Instrument consists of five questions:

1. Is the instructional process proceeding toward a perceivable objective, or is it a meandering path where time is dissipated without appropriate learning gain? In this way, she says, learning time is focused and effectively used rather than being happenstance. Nor does this eliminate creativity or impose rigidity. If a student comes up with a "tangential or nonrelated" learning objective, the original one could be altered or the new one could be referred to in a future lesson.
2. Is the instructional objective at the right level of difficulty for the learners who are investing time?
3. Is there constant monitoring of the degree of achievement of the objective so students can repeat or accelerate learning, as needed? She calls this "dip sticking," or taking "surroundings" at frequent intervals to validate learning achievement before moving ahead and to avoid investing time on learning that already has been accomplished.

These three questions have involved the "what" of learning. The final two in Hunter's teacher appraisal instrument involve the "how" of learning. Research has shown, she says, that there are certain principles which produce learning—those that affect the learner's motivation, affect a learner's rate and degree of learning, influence a learner's retention of what has been learned and contribute to a learner's ability to transfer the learning to new situations.

4. In which ways are the time and energy expended by learner and teacher consonant with the principles of efficient and effective learning?

5. Is there dissonance between time and energy expended and principles of learning? If so, which principles are being violated?

Using this Piagetian approach to appraising instruction, Hunter suggests that an evaluator should observe the teacher teach one lesson to a student who has been pre-tested on the subject matter. Then, the student should be post-tested. This method allows the evaluator to measure the teacher's success and the assessments made during the observation, she says.

Describing Effective Schools: Another Example of Research at Work

Concurrent with research on effective teachers, evidence has been accumulating on what makes an effective school. Especially well-publicized have been the work of Ron Edmonds in Michigan and New York City and that of Michael Rutter and others on secondary schools in London. These studies, as well as others, have found some common characteristics of effective schools. One of these characteristics is a high expectation of students by the school staff, teachers and administrators alike.

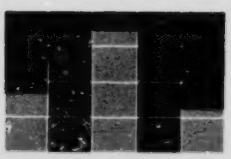
William J. Gauthier Jr., chief of the Bureau of School Program Development for the Connecticut State Department of Education, translated this aspect of effective schools into a series of questions for classroom observers:

- Are slower students seated farther from the teacher or in a group so that they are harder to monitor or to treat as individuals?
- Is there less interaction with high-need students not only in the frequency of academically oriented verbal interactions but also in body language (e.g., physical proximity, eye contact and touching in the lower grades)?
- Does the teacher allow less time for high-need students to answer questions before providing the answers or turning to another student for the correct response?
- Does the teacher fail to persevere and stay with the high-need student when the student doesn't know the answer to a question (e.g., by providing clues, follow-up questions, etc.)?
- Does the teacher tend to criticize slow learners more frequently for incorrect responses and, conversely, praise them less?
- Does the teacher overly praise high-need students for answering rather mundane questions or for marginal or inaccurate responses?
- Does the teacher praise high-need students with less accurate and less detailed feedback than others?
- Does the teacher demand less work and effort from high-need students?
- Does the teacher interrupt the performance of high-need students more frequently than that of other students?
- Does the teacher ask only low-level, recall-type questions of high-need students?

"With judicious and tactful use," says Gauthier, "this checklist might be used to gather more valid data about classroom interactions than would be gained through counseling."

Chapter 2

What to Evaluate: Developing a Measuring Stick



All definitions of good teaching contain counter-arguments and counter-examples, says Michael Scriven of the University of San Francisco. Scriven is basically displeased with most forms of personnel evaluation. His own brief definition is:

> Teachers are meritorious to the extent that they exert the maximum possible influence toward beneficial learning on the part of their students, subject to three conditions: (1) the teaching process used is ethical, (2) the curriculum coverage and the teaching process are consistent with what has been promised and (3) the teaching process and its foreseeable effects are consistent with the appropriate institutional and professional goals and obligations.

That's a neatly wrapped up definition. However, Scriven often must explain what it means.

Asked to define "teacher effectiveness," school administrators replying to the AASA survey for this report found it difficult to give a simple explanation.

"The ability to achieve academic and affective results in a classroom measured by standard achievement and teacher-made tests," said the superintendent of a medium-sized New Jersey school system.

"Results," another superintendent said tersely.

"Teacher effectiveness is the ability to instill in the pupil the motivation to learn and to facilitate the learning process by clearly communicating subject matter to the pupil," replied a principal from Illinois. "A person able to draw on his or her full potential to bring out the students' full potentials," said the superintendent of an upstate New York district. And an assistant superintendent in Ohio listed several qualities: "the ability to maintain high student achievement, as related to average district achievement levels; to maintain a consistent, appropriate discipline level; to communicate often and accurately with all pertinent publics, and to maintain a professional stature in the schools and community."

"I need as much help as you," replied a Vermont superintendent, adding that student achievement, parent approval and administrator respect were all necessary parts of teacher effectiveness.

As to specifics, six characteristics of teacher effectiveness were almost universally included in evaluation systems used by those responding to the survey. These were:

- Classroom management.
- Teacher/pupil relationships.
- Staff relationships.
- Preparation of teaching plans.
- Effective use of training materials.
- Interpersonal skills.

Two characteristics were used in evaluations most of the time, but not to the extent of those listed above:

- Cooperation and
- Professional improvement.

Two additional characteristics were used by more than 75 percent of those replying, but not as often as the other items:

- Attendance and
- Public relations/communications skills.

Goals and Guidelines: Putting It Down on Paper

According to the survey for this report, there are certain aspects of teaching which educators agree should be part of any standards. A scanning of the checklists or guidelines used for classroom observations shows that these characteristics become the basis for evaluating most elementary and secondary school teachers in the public schools. But before drawing up long lists, many school systems develop a philosophy for that particular school district or community on the essentials of good teaching. This philosophy is then translated into guidelines and goals. Evaluation is moving toward mutually established standards. A review of some of these guides gives a clue to the measures being used for effective teaching across the country.

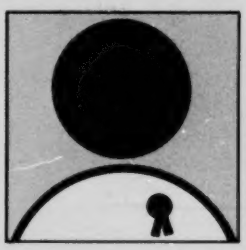
In Iowa, for example, state law establishes procedures for evaluation, but the criteria are decided by local school boards. In the New Hampton schools, "the essential purpose of the evaluation is the improvement of instruction," but the district's philosophy recognizes that there is no single model that will result in effective learning. "An evaluation system must respect the uniqueness of each individual staff member," according to the North Hampton policy. And Superintendent William Garner adds that the process must be positive. The whole evaluation program is evaluated every other year, with parents, students, board members, teachers and administrative staff becoming involved. (See illustration, "Desired Teaching Characteristics at New Hampton.")

Teaching is not simply a technical occupation, says Stuart Berger, superintendent at North Olmsted, Ohio. Teachers serve on the committee that reviews the evaluation program every three years, and after several years, administrators and staff have agreed on criteria for effective teaching, based on the various roles that teachers have: as a person, as a counselor, as a curriculum implementor, as an evaluator, as an instructor, as a creator of a proper classroom atmosphere, as an effective interactor with other adults, as a self-appraiser, as a classroom manager, as a responsible professional.

Peter Flisock, superintendent of the Southwest Region School District in Dillingham, Alaska, began studying an effective approach to teacher evaluation several years ago when he served with teachers, principals, students, parents and community members in Anchorage on a committee to develop a staff evaluation procedure. His background and experience helped to further refine a plan for the Southwest district, one which specifically avoids checklists. "Evaluation systems built on an extensive point rating scale provide little assistance or motivation for improvement," says the Southwest statement of principles. Setting clear expectations and goals is important, Flisock believes, and a professional growth plan is part of the goals for each teacher. At least four observations are required—more if necessary—before the teacher and evaluator "more fully understand the dimension of each competency."

The Personal Approach: Going Beyond Basic Techniques

Instructional techniques are familiar ground to both evaluator and teacher. In more than 200 "checklist" forms scanned for this report, there was general unanimity on how a teacher should manage a classroom and apply instructional skills. But there is more than that to being a good teacher. Understandably, teachers are wary of evaluations in areas very open to subjective judgments, such as cooperation or personal qualities. (One of the items that a few respondents would have added to the list of characteristics to be considered in evaluations was dress habits.) In developing guidelines, however, many school districts have felt that personality factors must be added to the list of those to be considered; otherwise,



Desired Teaching Characteristics in New Hampton, Iowa

The teacher shows evidence of good classroom management.
- Is fair, impartial and objective when dealing with students.
- Provides supervision and handles discipline of students when and where necessary and appropriate.
- Consistent when applying school policies to students.
- Displays self-confidence and flexibility and is calm and poised when dealing with disruption of the normal routine.
- Creates an atmosphere in the classroom that is orderly and businesslike.

The teacher is an effective communicator.
- Explains assignments and makes the presentation clear and easy to understand.
- Is easy to hear and understand.
- Is a good listener.

The teacher assists in upholding and enforcing school rules, administrative regulations and board policies.

The teacher has a positive and enthusiastic approach with students.
- Will relate to all students impartially.
- Is available and accessible to students.
- Generates a mutual respect between the teacher and students and accepts differing viewpoints.

The teacher is knowledgeable in the subject area.
- Has an understanding of the skills, objectives and appreciations associated with the subject area.
- Is receptive to suggestions.
- Maintains an up-to-date knowledge of the subject area.

The teacher recognizes that a primary goal is to assist in the growth of students.
- Uses probing questions and varied teaching strategies to stimulate student learning.
- Uses tests in determining future instructional activities.
- Adapts methods for understanding of concepts and relationships to meet individual differences of pupils.
- Presents material in a well-organized and logical fashion.

The teacher stimulates students to work toward their potential.
- Is enthusiastic and makes the classroom interesting.
- Encourages students to seek more knowledge beyond the classroom presentation.

The teacher has a strong sense of direction and persists in working in an orderly manner toward the course objectives.
- Provides a program in which all students may succeed.
- Develops goals and objectives to meet the needs of students.

The teacher uses appropriate instructional materials.
- Utilizes community resources.
- Makes effective use of materials, media, audio-visual and supplies.

The teacher recognizes the value of positive staff relationships.
- Works well with and displays a positive attitude toward all employees of the district.
- Plans and supervises purposeful assignments for support staff.

The teacher recognizes the value of positive school-community relations.
- Keeps parents informed.
- Uses discretion in discussing school affairs.

evaluation only deals with part of the process affecting students.

With the cooperation of the local teachers' association, the Evansville-Vanderburgh School Corporation, Indiana, has issued suggested guidelines for teacher evaluations which describe in detail some of the personal dimensions of a good teacher.

The teachers and administrators who developed the evaluation procedure and the guidelines, says Melvin Wambach, personnel manager, were determined that the process be positive. They suggested that in addition to instructional skills, classroom management, service to the school and professional qualities, the evaluation consider humanizing qualities and personal characteristics.

Basic Skills: Ten Key Ingredients of Teaching

"The principal is a change agent," says Fred Lunenburg, superintendent of the Elkhorn, Wisconsin, area school district. And as such a principal must work constantly to improve the effectiveness of the instructional program, which, he says, has the bottom line of "changing some aspect of the teacher's self-concept, behavior or attitude."

Lunenburg has prepared a manual on teaching skills for his principals to help them understand how to help teachers change their classroom behavior. "Unfortunately," he says, "in many cases the teacher is given little direction on how to overcome specific weaknesses and improve his or her performance. By default the teacher may develop a very restricted range of instructional strategies. Patterns become established. Self-expectations narrow. Questions go unanswered." If the teacher is a good disciplinarian, Lunenburg notes, he or she may never receive much in the way of an evaluation.

The Elkhorn superintendent, after doing research into teacher effectiveness studies, suggests that principals need to know enough about ten teaching skills to be able to recognize their components. Here are the ten components.

1. **Set Induction**—What introduction to an activity can a teacher devise which will produce the maximum in subsequent learning? The activities which precede a learning task have an influence upon the outcome of that task, and some instructional sets are superior to others. Suppose a teacher wishes the class to read Chapter 3 in the textbook as homework. The teacher could say, "Now class, for tomorrow I want all of you to read Chapter 3 in the text." Such a weak set would probably produce the usual response, and the next day the teacher will discover that half the class has not read the assignment and the remainder claim that they studied but are unable to answer the teacher's discussion questions.

   To improve the set, the teacher might say: "For tomorrow, I want you to read Chapter 3 in the text and come to class prepared for a discussion." The students may need more help for the discussion, so the teacher needs to give clues. Lunenburg sums up a sufficient set as one which gives students adequate preparation so that while they go through the activity, they are able to come as close to the goals as the teacher wishes.
2. **Stimulus Variation**—Lunenburg says research shows that changes, any deviation from the standard, seem to result in higher attention levels. Teachers should remember, he says, that youngsters often have short attention spans. "Good teachers vary learning activities and their teaching behavior during a classroom session," he explains. He suggests six behaviors that provide various stimulations.

- **Movement** —Movement by the teacher requires visual and aural adjustments from the students. Teachers should, Lunenburg says, be perceived in both the left and right sides of the classroom, be both in the front and the back of the teaching space alternately and occasionally move among and/or behind the students.
- **Gestures** —Hand, head and body movements are an important part of communication.
- **Focusing** —This behavior can be seen either through verbal statements, through specific gestures or by some combination of both. A combination, for example, would be

if the teacher points to a diagram and says with emphasis, "*Look* at this diagram!"

- **Interaction Styles** —A teacher can vary the pattern of the lesson presentation by switching to different interaction styles, such as moving from teacher-group presentations, to teacher-student interactions, then to student-student focus (taking a student's response and directing it to another student for comment and clarification).
- **Pausing** —The effectivness of silence as an attention-demanding behavior is well known by public speakers, says Lunenburg, but little used by teachers. Pauses can break information into "easily processed units," capture attention, cause students to "strain" for cues and direction and prepare students for the next point a teacher wants to make.
- **Shifting Sensory Channels** —If a teacher shifts students from using their eyes to using their ears, for example, the students' attention is gained by having to make the adjustment. This is not the same thing as movement, which involves only one sense. Usually a teacher uses only oral messages; these could be supplemented with visual messages, such as the use of blackboards or pictures. Another sense is involved if the teacher passes around some object.

Principals, says Lunenburg, should encourage teachers to combine these various stimuli during a lesson. For example, a teacher might move from one side of the room to the other, saying, "Now watch this." The teacher then writes on the board, steps back, points at what has been written and says nothing more. In this sequence, the teacher has used five behaviors: movement, verbal focusing, gestural focusing, pausing and oral-visual switching.

3. **Closure**—Set induction and closure are complementary, says Lunenburg. The teacher needs to make sure students understand the material and its relationship to what they already have learned. But, he cautions, closure is not limited to the completion of a lesson. It is also needed at specific points within the lesson so that students may know where they are and where they are going. For example, closure might mean drawing attention to the

Unique Objectives for Amherst

Evaluation materials for the Amherst-Pelham schools in Amherst, Massachusetts, contain some unique performance objectives. For example, the Sex-Role Stereotyping Project prepared a list of more than 40 sample objectives that could be included in evaluation contracts of teachers and administrators, such as:

- Prior to the end of each semester, read at last one book about the other contributions of women to your subject area or the effects of sex-role stereotyping on girls and boys in your subject area.
- Prior to the end of the school year, develop and present in your class a learning unit and help students identify language usage which leads to stereotyping people.
- Prior to the end of the year, develop with your educational team an assessment of your curriculum as required by state law and identify areas needing additional attention.
- In considering student interns, screen according to expertise in remediating sex-role stereotyping.
- During the school year, invite proponents of the women's movement to discuss the goals and programs of the women's liberation movement with students.
- Take a course in women's studies at the University of Massachusetts or one of the five colleges.
- Prepare a biography unit for your class based on the names of women.
- Visit Everywomen's Center and familiarize yourself with the services and programs offered.
- Enroll in a course on nonsexist education.
- Subscribe to or check out of the library and read regularly current issues of Ms., Women's Studies Newsletter, Feminist Studies, etc.
- Examine your own sex-role stereotypic upbringing. A suggested format for personal exploration is the series of exercises included in Alice Sargent's book, *Beyond Sex Roles.*

completion of the lesson or part of it through review, consolidation of concepts and summarizing of discussion. Closure also might mean making connections between previously known material, current material and future learning, such as applying what has been learned to similar examples and cases. Closure allows students the opportunity to demonstrate what they have learned.

4. **Reinforcement**—Research shows, says Lunenburg, that if teachers reinforce students both verbally and nonverbally in classroom discussions, irrespective of the correctness of their responses, students will participate more often in classroom discussions. For example, when a student makes a particularly good response, the teacher might say, "That's exactly it," and nod affirmatively while moving toward the student. In this case, the teacher combines positive verbal and nonverbal reinforcers. Examples of the former might include such words as "good," "fine," "excellent." Examples of the latter might be nods and smiles, keeping eye contact with the student, writing the pupil's response on the blackboard. Actions that discourage pupil participation include scowls or frowns, movement away from the pupil, negative verbal responses or expressions of annoyance or impatience.
5. **Recognizing Attending Behavior**—This basically refers to identifying when students are "on task." Lunenburg says a teacher can tell if the student has eye contact with the teacher or the teaching media, is actively engaged in the task, such as reading, writing or note-taking and responds positively to the teaching task by participating in class activity.
6. **Lecturing**—Teachers need to ask two questions about lecturing to students—when is it effective, and how can it be made effective? Lunenburg answers the first as when the teacher may have information not accessible to the student, to reinforce written work, to create a change of pace, to synthesize many sources and to inform students of the expected outcomes of learning.

As for how to lecture effectively, the teacher must know the level of ability of the students well enough to determine if lecturing will be useful. A teacher should help students acquire listening skills and note-taking skills and should have good control of the language. Also, Lunenburg says, a lecture must be well planned and well organized, have variety in its pace (main ideas should be repeated and highlighted; audio-visual aids used as a complement rather than a substitute).

7. **Use of Examples**—A person who can't give an example probably does not have a very clear idea of the subject, Lunenburg believes. And teachers need to encourage students to give examples, too. Teachers should work from simple examples to more complex ones, starting with those relevant to the experience and knowledge of students and always relating the examples to the point that is being taught.
8. **Questioning**—There are four broad categories of questions which principals can recognize or encourage in a teacher's classroom techniques, says Lunenburg. These are **initiating** questions, which begin the response from the student; then **probing** questions might require students to remember facts or to describe something they see. A teacher also asks **higher order** questions, which require students to make comparisions or inferences. The fourth type is **divergent** questions, which have no "right" or "wrong" answers and which students sometimes are reluctant to explore. But Lunenburg says teachers shouldn't provide cues and that some uncertainty is desirable.
9. **Establishing Appropriate Frames of Reference**—Teachers should know how to teach material from several appropriate points of view, says Lunenburg. Students cannot gain an understanding from one frame of reference; they need several if their learning is to be broad and complete.

For example, he says, the Emancipation Proclamation is more meaningful if students see it from the viewpoint of the Northern white abolitionist, the Southern white, the slave in the seceded

South, the free black, the European clothing manufacturer or as an example of the reserved powers of the American president.

10. **Planned Repetition**—This skill requires careful use, Lunenburg says. A teacher wants to encourage solid learning, but doesn't want to "beat a dead horse." Principals will find that some teachers do not repeat enough and that others bore students with repetition, he says. Ideally, a teacher should review previous material by repeating, or having students repeat, main ideas. If the ideas have been forgotten, they may be relearned by repetition.

These ten skills, Lunenburg concludes, "represent only a small sampling of the kinds of things teachers can do to keep classroom instruction lively and interesting." He also advises principals that a full class period for observation of a teacher is best if the principal wants to evaluate fairly these teaching skills.

Results vs. Effort: Is the Process Worth the Time?

Is going through the long process of selecting teacher competencies to be used in evaluation worth the time and trouble?

Those who worked on decisions about teacher competencies for the Austin, Texas, school district aren't sure.

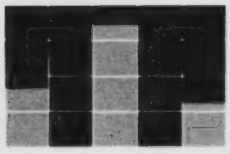
Every teacher in the school system was given an opportunity to nominate competencies to be used in the evaluation system. Principals, instructional specialists, students, parents and the faculty at the University of Texas College of Education also rated the competencies. Freda Holley of the evaluation staff of the Austin school district presented a chronology of the development of the final plan to a meeting of researchers. The chronology showed tremendous effort, and initially, very positive response.

The ratings were placed on a computer to give school-by-school summaries. Principals reported more observations and more conferences than had been originally estimated; revisions reduced the number of competencies in the evaluation from 63 to 46. But in the second round of evaluations, administrators found little improvement in variability and few clues on how to plan staff development.

"In retrospect," says Holley, "I still find that the goals established for the system initially, although high, have just minimally justified the cost of the system. This cost is to be calculated primarily in terms of the teacher and administrator required time to implement it. As I have watched the ratings come in, I also have become increasingly doubtful that administrators can be led to making the hard decisions that are associated with identifying competency inadequacy. I carry the suspicion that if we are to establish a minimum competency level for personnel in our schools, the only way may be through examinations prior to employment or perhaps even prior to entry into training as an educator."

Chapter 3

Evaluation Systems: Deciding on the Best Approach



Most people want to work more effectively. In the era of accountability for public schools, however, the public—through legislators and state and local school boards—wants specific assurance that schools are effective. During the past decade, a number of responses to the demand for evaluation and improvement have been tried, dropped, modified or expanded. Classroom observation as a technique is almost universal, as is the use of "checklists" to record observations, despite the criticism of researchers and many evaluation experts that the checklist approach often is inappropriate and seldom, by itself, results in improved teaching.

Observation is central to evaluation programs in most school systems, however, because it fulfills the "letter of the law" on evaluation. Yet, if the "spirit" of evaluation is to improve instruction, techniques must become more sophisticated and more readily accepted by those being evaluated. The accumulating research data on effective teaching will aid in the search for a more perfect system of evaluation. But even before the data became widely available, formal evaluation systems were developing. School administrators generally realize that there is no one model of evaluation that is suited for all school systems or even for all teachers within one system. The newer approaches, as well, stress involvement in planning and decision-making by the one being evaluated.

"It is well . . . to remember the inadvisability of expecting that a composite design of evaluation will satisfy every human need and all the requirements of all school systems," George Redfern says in his introduction to *Evaluating Teachers and Administrators: A Performance Objectives Approach*. "Variations in the size and complexity of school systems, different leadership styles of principals and supervisors and the varying needs of individual teachers require flexibility in applying evaluation procedures."

Management by Objectives: A Flexible, Individualized Approach

Although others had toyed with the idea earlier, the use of behavior patterns in setting goals became widely known in the 1950s and 1960s through Peter Drucker's "management-by-objectives" approach in industry. This approach spread to government, and in the early 1960s emerged in schools. Essentially, it asks: What are employees going to do, and when are they going to do it?

Redfern, a former superintendent, association executive and currently a consultant on evaluation, was one of the earliest educators to apply performance objectives to teacher evaluation. "Evaluation by objectives is a partnership process," he contends in *Evaluating Teachers and Administrators: A Performance*

Objectives Approach, the most recent of several of his books on evaluation. "This is one of its prime assets. Those persons being evaluated are in on the ground floor when modifications of existing programs of evaluation are being considered or new programs of evaluation are being developed." He lists some of the results to be expected from this partnership approach:

- **Clearer perceptions of performance expectations.** It "definitely clarifies the scope of an individual's duties and responsibilities," he says.
- **Use of feedback to refine performance.** Information regarding performance should be communicated in a timely manner throughout the year, he says.
- **Availability of more valid performance data.**
- **Reinforced practitioner-supervisor relationships.** The emphasis upon partnership, he says, changes the working relationship between the supervisor and the person being evaluated. The purpose of the process is different, so supervisors don't have to engage in "educational umpiring."
- **Greater sensitivity to needs and concerns of clients.** The welfare of the student is paramount because performance objectives stress what happens to students, he says.
- **Stronger emphasis upon improvement.**
- **More adequate documentation of the extent of incompetency.** It isn't possible to avoid the necessity, sometimes, to document inadequacy, he says, and because performance objectives emphasize an early identification of deficiencies and careful help in overcoming them, it is possible to document deficiencies better.
- **Skill in evaluation requires higher priority.** The performance objectives approach requires certain skills, which should make evaluation a higher priority when selecting school leadership, he says.

Use of MBO: Setting a Timetable

In making suggestions to school boards in Tennessee on how to use the performance objectives approach, Carol Furtwengler, director of research development systems for the Tennessee state Department of Education, developed a timetable:

At the **beginning of the school year,** teachers are informed about the school district's evaluation system, including board policy and administrative procedures. Teachers receive training in writing job targets and in identifying strategies and professional growth activities to meet their objectives.

By October, the principal holds conferences with teachers to develop the performance objectives. They mutually agree in writing on the objectives.

Throughout the year, the principal and teacher continue to discuss progress on the objectives, based primarily on information obtained from formal classroom observation. As the teacher completes strategies and activities, the dates are recorded on the form.

Year-end evaluations are written by the principal, usually in two steps—nontenured teachers in April and tenured teachers in May.

At the end of the school year, the principal meets with the faculty to discuss progress on system-wide and school-wide objectives and to develop plans for the next school year. Teachers submit an outline of their tentative performance objectives for the next school year, and this is a starting point for the following fall.

Teacher Involvement: A Joint Effort

The teacher evaluation program in the Andover, Massachusetts, public schools closely follows the model suggested by Redfern and the timetable outlined by Furtwengler. An instructional improvement plan is developed jointly by the principal and the teacher, focusing on those standards of performance activities in which growth is desired. An outline or plan for professional growth, with expected dates for completion, is developed, and progress is reviewed on specified dates.

For example, perhaps a teacher needs to improve clarity in making presentations to students. Principal and teacher then might agree that this would be best achieved by the teacher expanding his or her knowledge of advanced mathematics and that this goal could be met in part by enrolling in a special class

at a nearby university. The target date would be the end of the course. Activities, however, are not limited to courses. They might include visitations to other classrooms, weekly meetings with a department head, development of learning activity packets for specific kinds of students or team planning sessions.

According to Superintendent Kenneth Seifert, in the Andover evaluation process:

- Both the evaluator and the teacher are aware of the process for evaluation.
- Both the evaluator and the teacher have the opportunity to interact while goals are being pursued.
- Both the evaluator and the teacher have a history of written communication that is contained in a personnel folder regarding progress or problems.
- When satisfactory progress is not being made, the teacher is made aware of serious problems as soon as possible.
- The teacher is given written suggestions for improvement.
- The teacher is given a timetable for implementation as well as examples of suggested alternatives or behavior when possible.

Goal Setting Conferences: A Simple, Effective Tool

Westford, Massachusetts, once had multipage lists of teacher competencies to use in classroom observations. Superintendent Lloyd Blanchard says discussion of the process and revisions reduced the lists to a one-page yearly summary in four areas—student achievement, classroom management, professionalism and attendance. "We're still looking for a single successful instrument," he says, but an important improvement has been a goal-setting guide for teachers to be used in conferences with the principal. This simple form also reminds teachers that expectations do not necessarily have to be directed at weaknesses, but also can emphasize strengths which the teacher wishes to expand.

A more elaborate, but still streamlined, performance review is used in the Manchester local schools at Akron, Ohio. According to Superintendent Marco Burnette, teachers are expected to meet district standards in four areas—**instructional management, personal attitudes and characteristics, professional attitudes and characteristics** and **professional competence.** Both teachers and evaluators use a guide that also serves as a self-appraisal worksheet. Teachers study the guide before their meetings with the evaluator, checking those areas in which they would like to improve. At the conference, the principal will check the areas where growth is needed. A second conference is scheduled before the end of the second semester to discuss growth. After that conference, another formal record is signed by both principal and teacher.

Clinical Supervision: A One-to-One Relationship

Many view clinical supervision and a plan for performance objectives similarly. If any comparisons could be made, it would be that setting performance objectives is a more formal procedure, tied directly to evaluation. Clinical supervision, on the other hand, is more informal and tied to professional growth. "Clinical" refers to a supervisor's face-to-face relationship with the teacher as an observer of that teacher's actual behavior in the classroom, say authors Keith Acheson and Meredith Gall in their book, *Techniques in the Clinical Supervision of Teachers.* The approach was developed by faculty at the Harvard School of Education in the 1960s, with some ties to the "person-centered counseling" ideas of psychologist Carl Rogers. Robert Goldhammer of Harvard University explains why the term "clinical" was applied:

> Given close observation, detailed observational data, face-to-face interaction between the supervisor and teacher and an intensity of focus that binds the two together in an intimate professional relationship, the meaning of "clinical" is pretty well filled out.

Robert Lerch, assistant professor of education at Idaho State University, Pocatello, Idaho, compares clinical supervision to the diagnostic/prescriptive approach of the medical profession. He further draws a distinction between supervision as a helping relationship, and evaluation as "an inspection relationship."

An Overview of A Clinical Supervision Model

Steps	Purposes
Preparation	Analyze situation. Set priorities. Determine strategy.
Expectation Paper	Announce priorities. Provide rationale.
Pre-Observation Conference	Clarify expectations. Obtain background information. Set focus of data collection.
Classroom Observation	Collect Data.
Preparation	Analyze data. Determine strategy.
Post-Observation Conference	Obtain more information for increased understanding. Allow for self-assessment. Examine alternative behavior. Provide feedback. Determine future growth/help.
Preparation	Analyze information and reactions. Determine strategy.
Written Summary	Record major strengths and deficiencies. Provide supervisory suggestions. Clarify expectations for future growth/help.

Source: Stanley Schainker, Far West Laboratory for Educational Research and Development, San Francisco, California

Clinical supervision consists of a pre-observation conference, an observation that includes collection of specific data, analysis of that data and a post-observation conference. Lerch would prefer that the effort at any one time focus on a specific behavioral skill, rather than "shot-gun" on many things. In an article in the *Clearing House*, January 1980, he outlines the various arguments, pro and con, that have been made about clinical supervision. (See illustration, "Clinical Supervision: Pro/Con.")

In workshops for principals throughout Nevada and Utah, Stanley Schainker has been training principals to use the clinical supervision model. Using his research and that of others, as well as materials he developed for the Far West Laboratory for Educational Research and Development in San Francisco, Schainker explains the philosophy and the techniques of clinical supervision.

In his view, principals "are caught in the middle" on teacher evaluation. Many principals realize they don't have the skills for it and feel that evaluation jeopardizes their relationships with teachers, and "a few who have the skills realize that they don't have the time to do a thorough job," he says.

Schainker's first goal in the workshops is to show principals how they can make their time more productive, freeing them to be observers in the classrooms. He points out that several studies, including one done by the Federal Reserve Bank in Philadelphia, show a correlation between the amount of time principals spend in classrooms and higher student achievement.

Self-Evaluation: Judging One's Own Teaching

Self-evaluation as a technique to improve teaching has been studied more fully at the post-secondary level, but with the increase in performance objectives and clinical supervision as the basis for improvement in elementary and secondary schools, self-evaluation has become a more important consideration.

The Board of Cooperative Educational Services for Nassau County, New York, provides teachers with a self-evaluation check sheet solely for their own purposes. It is intended

Clinical Supervision: Pro/Con

Pro

- Specific problems or areas of concern are mutually identified; misunderstandings of expectations are avoided. In many "supervisory cycles," the supervisor has in mind practices, behaviors and conditions which are not shared or understood by the person being supervised. This situation immediately puts the supervisor in a category of being suspect. When the one being supervised knows the reason for the visit, the information sought and why it is sought, the importance of the visit increases and instruction improves. The freedom to become the teacher one wants to be is inherent in the clinical approach. The teacher, or others, can help define and identify skills, performances and areas for instructional improvement. No longer are all teachers required to fit into the same mold.
- A systematic plan is used to assist the one being supervised in improving classroom instruction. When specific behaviors and actions are observed, the data are collected systematically. It is possible to record not only the actual events taking place but to suggest their possible causes, implications and/or effects on other events. With specific data rather than "gut level" feelings on which to base decision-making, it is far more likely that improvements in the instruction will take place.
- With shared decision-making, experimentation with feedback for improved instruction is promoted. When supervision is open and shared, personal fear and misunderstanding are reduced.
- Mutual growth occurs. When the supervisor and the one being supervised work together in the identification and solution of problems or concerns, they both benefit.

Con

- Development and implementation of clinical cycles is a time-consuming process. Some have estimated that a supervisor should spend between 40 percent and 60 percent of his or her time in the classroom.
- The one being supervised must want to change and be autonomous enough to change. To assume that change will take place without an interest, desire and effort on the part of the individual expected to change is unrealistic.
- Personality and philosophical differences may arise between supervisor and the one being supervised. In any endeavor involving people, there are possibilities for personality conflicts. If the supervisor is aware of the conflict and views the supervisory role as one of helping and not imposing, problems can be minimized.
- Supervisors often approach the process from a superior-subordinate reference, not as an equal, collegial relationship. Supervisors are, for the most part, prepared as administrators, with supervision being viewed as an administrative function. This is contrary to the collegial view necessary to the use of cycles of clinical supervision. To supervise in the collegial sense may require retraining.
- Data collected may not clearly reflect the actual situation. Often the data can be interpreted to say whatever the interpreter wishes, or it can be "noninterpretable." If the one being supervised wishes to ignore the data, only skill on the part of the supervisor will bring the actual situation to light.

Source: Robert Lerch, assistant professor of education, Idaho State University, in *Clearing House*, January 1980

primarily to help teachers know what the evaluator will be observing in classroom visits.

Completing a self-evaluation is the first step in the school evaluation plan of the Sayles Elementary School at Baltic, Connecticut. Superintendent Aram Damarjian notes that at Sayles Elementary the whole purpose of teacher evaluation is making sure each faculty member continues to grow. Self-assessment, says the school's policy, "involves a willingness to admit that an objective was not fully achieved, if it wasn't. This should not be construed as failure. Evaluation by objectives is not a 'win-lose' matter. Sometimes a very challenging objective will not be achieved at the level anticipated. . . . The important point is that a candid self-assessment is the starting point of a comprehensive program of improvement, which is the ultimate aim of this type of evaluation."

Peer Evaluation: Help from Other Teachers

Peer evaluation was mentioned infrequently by respondents to the AASA survey for this report. Nonetheless, it is a technique that reappears in research and has proven successful in a few school districts, especially as a form of team evaluations. According to a review of research by Gary Natriello and others, proponents favor plans that emphasize improving teacher performance rather than finding things to criticize.

One study found that elementary school teachers lacked respect for evaluations of their teaching by other teachers. However, other research studies found that teachers can and will help each other and can (with difficulty, however) select criteria that are specific, observable and meaningful to them. It should be noted that teachers, either as part of their contracts with school systems or as a result of their own motivations, participated in drawing up appraisal standards in a majority of those systems surveyed for this report.

One of the longest running peer evaluation systems was the Duluth, Minnesota, plan for evaluating nontenured teachers. Begun as a three-year experimental project with a federal grant, the Teacher-Evaluates-Teachers Project was developed by three directors nominated by balloting among teachers. Using 72 "master teachers" as an evaluation team, the project first required each new teacher to compile a set of personal management objectives for the school year. These objectives were used by members of the evaluation team for reference before an evaluation visit. The project also included extensive training for both principals and evaluation team members, who developed a general evaluation instrument and forms for all subject areas and grade levels at workshops. Another part of the training was a voluntary workshop for second- and third-year nontenured teachers who wanted help in writing teacher-management objectives.

Evaluators spent a full day on evaluation in a school building, observing one teacher in the morning and one in the afternoon. (A full-day substitute was supplied for the evaluator.) The teacher being evaluated and the school principal both received copies of the same evaluation report. Each nontenured teacher was evaluated three times during the school year by at least two different evaluators, each a specialist in the field.

The directors and team members developed specific objectives for this peer evaluation project:

- To select and train a team of evaluators from elementary education, from all secondary subject areas and from special education.
- To provide minimal training and assistance to all principals so that they might train their staffs in the writing of mission objectives for their schools.
- To train all nontenured teachers in writing management objectives.
- To have each nontenured teacher prepare and submit three to ten teacher-management objectives.
- To accomplish three half-day evaluations by a specialist in the field for each nontenured teacher.
- To provide written technical input to principals regarding teacher competence.
- To provide in the greatest degree possible on-site help and suggestions to the teacher during each evaluation visit.

- To provide a process whereby teacher-evaluators will have direct input into the hiring-rehiring process by assisting at interviews.
- To facilitate a continuous flow of information on the program to all administrators in the system while at the same time seeking continuous input from them.

Unfortunately, the Duluth plan is now past tense. Despite favorable reviews from administrators and "really strong support from teachers," says Len Golen, communications facilitator, it lost out in a budget squeeze. The choice was to provide funds for substitute pay or allocate that money to full-time teachers' salaries, he says. The program continued for a year after funds were eliminated because teachers contributed their time on a voluntary basis, according to Golen, but such efforts couldn't sustain it on a long-term basis. What did survive, however, is a manual of teaching goals, ideas and activities prepared by non-tenured teachers as their part in the project. This manual is still being shared among teachers throughout the school system.

Peer review has become a vehicle for improving administrator evaluation capabilities in some areas of Utah. Using professional teachers to help improve another teacher's performance that is substandard has been advocated by the Utah Professional Practices Advancement Commission for several years. It has trained a cadre of master teachers around the state to conduct peer reviews. Although used infrequently so far, these teachers have been particularly helpful in small districts with limited resources, explains Vere McHenry of the commission.

One superintendent mentioned that he wished all administrators had the same evaluative skills as the master teacher doing a peer review in his district. This comment sparked a new project to use the peer review process to help administrators improve their skills in evaluation. Workshop consultants have been used in several locations in the state for groups of administrators where the peer review system is explained. The materials on effective teaching and data gathering methods are used for training.

Student Evaluations: A Collage of Opinions

Student evaluation of teachers has been around since the Middle Ages. But college students in this country caught onto its possibilities only in recent years. On many college campuses, it became a normal part of faculty evaluations. (When not allowed through formal channels, student evaluation reports often turn up in "underground" reports.)

However, according to the AASA survey results, student evaluation is generally limited to high school students and, at that, not often used. Apparently, student evaluations are usually for the use of the teacher only. Only rarely do student evaluations become part of the evaluation record.

According to two studies in the mid-1970s, about 23 percent of school districts provide for student evaluations of teachers in some schools or departments. However, fewer than one percent conduct student evaluations of teachers in all schools or departments.

A 1974 study of secondary student evaluations of teachers, published in the *NASSP Bulletin* (September 1976), produced a composite student opinion on skills that are important in successful teachers. Students think teachers should:

- Be knowledgeable,
- Possess a sense of humor,
- Be tolerant with students,
- Be able to listen,
- Be interested in students as individuals, and
- Maintain a warm and friendly attitude.

In the Mulpitas United School District in California, student evaluations of teachers may become part of the formal evaluation process, if requested by the teacher. Both students and teachers in the system helped to develop an extensive array of forms that students can use at different levels, or teachers can make their own surveys or select one from another source. (For an example of a student opinion form, see illustration on page 36.)

Student Opinion Form
Mulpitas United School District
Mulpitas, California

STUDENT OPINION FORM
TO BE RETURNED DIRECTLY TO THE TEACHER

Circle Period: 1 2 3 4 5 6 7
Directions: This is an attempt by your teacher to improve the class by listening to your reactions. Please respond to each statement below by checking in one of the columns to the right. Be as honest as possible. Do not sign your name.

		MOST OF THE TIME	SOMETIMES	HARDLY EVER	NO OPINION
1.	This teacher has helped me be interested in the subject.				
2.	I try to participate in this class.				
3.	This teacher begins class promptly without wasting time.				
4.	This teacher seems to know the subject we're studying.				
5.	This teacher is well organized.				
6.	Homework is worthwhile and not just busy-work.				
7.	The amount of homework we get is right for this kind of class.				
8.	I am graded fairly in this class.				
9.	This teacher avoids treating certain students as favorites.				
10.	This teacher is reasonable in what students are expected to do.				
11.	This teacher shows understanding and concern for students.				
12.	This teacher respects the expression of different opinions.				
13.	This teacher talks too much about personal problems that shouldn't be brought to the classroom.				
14.	This teacher explains lessons clearly.				
15.	I have opportunities to express myself in class.				
16.	This teacher spends too much time talking.				
17.	This teacher seems to understand how much I know and helps me learn.				
18.	This teacher uses different ways and aids to help me learn.				
19.	This teacher goes over our written work and returns it to us.				
20.	This teacher listens and tries to understand what we're saying.				
21.	This teacher keeps the class under control enough to allow us to learn.				
22.	This teacher tries to make the course interesting.				
23.	This class is a place I like to be.				

A Computerized Plan: Reporting on Results

The Hueneme School District in California uses a computer to keep up with the various levels of objectives each year. Wayne Flaaten, administrative assistant for management services, says, "We feel the plan is very effective."

Teachers and principals work out an individual teacher evaluation report that includes four sets of objectives—mandatory ones, those set by the district, those selected by the teacher and principal and performance expectations for each objective. The list of objectives is sent to the Pacific Learning Corporation to be computerized.

Throughout the Program for Assessing Teaching (PAT) at Hueneme, computer reports keep the administrative staff informed about what is being done to improve instruction. These include reports to the principals on in-service training for each teacher, a report listing teachers who need to improve their performances, a report to the superintendent that summarizes the objectives selected by teachers and principals throughout the system, a summary of preliminary evaluations by school for the superintendent, a report on those given superior ratings in their evaluations and a summary of the number of acceptable and unacceptable ratings listed for each school which goes to the superintendent.

As much attention is paid to superior performance as to below standard performance in the Hueneme evaluation program. Consequently, the school system has prepared an inventory of "superior qualities." These "superior qualities" include:

- **Adaptable**—Be able to respond and adjust to the changing conditions within the system with a positive attitude.
- **Analytical**—Concisely and reasonably evaluate situations in order to arrive at a rational solution.
- **Compassionate**—Regard others with understanding and consideration.
- **Industrious**—Plan and accomplish goals beyond the minimum requirements of the assigned responsibilities.
- **Initiative**—Demonstrate the ability to take the first step or action and follow through with a plan or task which is responsive to the needs of the organization.
- **Innovative**—Demonstrate the ability to propose new or different ways of doing things that will improve the system.
- **Objective**—Be able to view facts or situations without the distortion due to personal feelings or prejudice.
- **Organized**—Demonstrate the ability to organize a plan for yourself or others to systematically solve a problem or complete a task in the most efficient manner possible.
- **Perceptive**—Be aware of and understand the ways various relationships, operations and informal communications operate in the organization.
- **Persuasive**—Demonstrate the ability to convince or influence others concerning programs and policies.
- **Tactful**—Demonstrate a keen sense of what to do or say in order to maintain good relations with others.

Evaluation in Stages: Changing with Teachers

The Bedford, Ohio, teacher evaluation plan, worked out by a committee of teachers over a two-year period, views evaluation as evolutionary, changing its focus as teachers become more experienced.

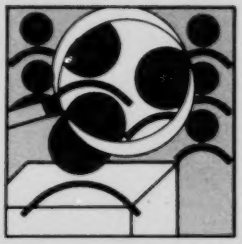
"In the early years of a teacher's career in Bedford, evaluation is basic—its focus rather narrow," says a description of the process. 'Responsibility for accomplishing the evaluation rests with the administration. The basic question during these early years is simply: 'Is this teacher qualified, competent, able to meet Bedford's standards?' "

Once this basic employment decision is made, the focus and responsibility for evaluation shifts somewhat. The criteria are broadened to include, along with the basic qualities, all of the skills and attitudes of a senior member of the faculty. Self-examination and introspection, with appropriate administrative review, are a vital part of the evaluation process at this stage of career development.

The final stage in the evaluation process, understandably, is one of refinement and polishing. The focus of evaluation narrows to the measurement of progress in specific areas. In

this stage, both the objectives to be reached and the method of evaluating progress result from joint deliberations of the teacher and the individual assigned to assist in the evaluation process.

The Bedford plan avoids checklists or strictured methods. Rather, the emphasis is on "guided comment, narrative descriptions and job targets," says Al Salzano, director of personnel for Bedford City schools. The as-



Eleven Common Classroom Observation Instruments

There are many formulas for observing in classrooms, most of them aimed at reducing the biases of the observer. In a survey on teacher evaluation in 1977, the Educational Research Service found school administrators mostly using 11 "instruments" for classroom observation:

- **Flanders Interactional Analysis,** which analyzes verbal interaction between teachers and students.
- **Galloway Nonverbal Communication,** which analyzes the types of nonverbal behaviors teachers use with students by means of videotape recording.
- **Parson's Types of Question Analysis,** which analyzes the types of questions teachers use with students.
- **Bales Interaction Process Analysis,** which analyzes interaction patterns among group members.
- **Verbal Interaction Category System,** an adaptation of the Flanders system including measurement of the nonverbal behavior of the teacher and student.
- **Classroom Observation Record,** which analyzes cognitive levels on which classroom verbal interaction takes place.
- **Observation Guides,** a comprehensive itemization of specific and observed aspects of teaching and learning which helps a supervisor to monitor certain phases of instruction.
- **Briggs Observation Guide,** a collection of questions which serves as a guide to help supervisors arrive at judgments regarding the purpose of a lesson, classroom climate, organization and development of lessons, among others.
- **Videotape Analysis,** a system which allows teacher and supervisor to review a lesson and reach consensus on constructive alternatives for teaching improvement.
- **Observation Schedule and Record System (OScAR),** a verbal category system which yields frequency counts of the occurrence of different verbal behaviors.
- **Instrument for the Observation of Teaching Activities (IOTA),** a written description of classroom behavior by a team of at least three observers.

sumptions underlying the evaluation program are:

- Any activity with a purpose logically demands evaluation.
- Evaluation of professional staff members must occur in some form in every school system. Therefore, it should be open, honest and well understood.
- Every member of the instructional staff is interested in improving his or her performance and potential growth.
- Each member of the staff has the right to know how he or she stands in the eyes of the person to whom he or she is responsible and should have the opportunity to express his or her own views firsthand in a professional situation.
- Evaluation is a means, not an end. It is a technique for improving the educational opportunity available to students and a valuable professional growth experience for staff.
- Differences among principals, faculty members, students and in problems facing individual schools indicate a need for flexibility in the stucture of the evaluative procedure.

Specialized Evaluation: Separate Methods for Each Area

Most school districts use the same evaluation instruments for all teachers, both regular as well as specialized. However, in some instances supervisory personnel in a specialized area, such as education of the handicapped, are responsible for evaluation of a teacher specialist. Other areas where central office personnel are responsible for or participate in the evaluation of building level personnel include: librarians, counselors, athletic directors, reading specialists and subject area teachers at the secondary level. Where teachers work in more than one school building, both principals usually participate in the evaluation.

Approaches to Teacher Evaluation

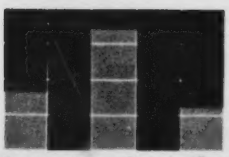
APPROACH	Strengths	Weaknesses	Conditions for Effective Use	Nature of Evidence Produced	Purposes for Which Most Highly Appropriate
Student Evaluation Students evaluate a teacher's performance through a structured or unstructured questionnaire or interview.	Requires minimum of resources. Teachers will change as result of student feedback. (Tuckman and Oliver, 1968) Results show high correlation with other kinds of ratings. (Blackburn and Clark, 1975) Observe teacher every day. (Kulik, 1974) Assessments reliable and not affected by grades. (Menges, 1973; Aleamoni, 1976; Centra, 1976)	Factors other than teacher may contribute to student satisfaction, e.g., class size, elective or required courses. (Gage, 1972; Kulik, 1974) Students may tend to be generous in their ratings.	Need student anonymity. (Frey 1976; Gage, 1972) Need teacher willingness to accept student feedback. Instruments must be carefully developed; e.g., include specific items to obtain student judgment of learning environment. (Glass, 1974)	Student perceptions of what they have learned, how they have changed. Student analysis of how various teaching acts affected them. Student suggestions for teacher actions. Student perceptions of what they like and dislike about a teacher.	Help teachers improve. (Kulik, 1974; Centra, 1976; Gage, 1972) Identify teachers for merit recognition. Make employment decisions. (Kulik, 1974; Centra, 1976)
Tests of Student Performance Measures of what students have learned or how they have changed over a period of time in working with a teacher.	Student attainment of objectives a legitimate source of data on teacher performances. (Lucio, 1973) Measures impact of teachers on students over period of time.	Difficulty of designing appropriate tests. Gains on standardized tests often an inadequate measure of performance. (Glass, 1974; Popham, 1974) Other factors may affect performance; e.g., student intelligence, family background. (Gage, 1972)	Must have systematic and comprehensive data collection plan. Need personnel skilled in collecting performance data.	Student work samples. Test results (standardized and others.) Attitude measures.	Improve student learning. Identify teachers for merit recognition.
Simulated Teaching Brief teaching unit on content normally not taught by the teacher to a special selected group of students; pre- and post-tests measure student gains.	Evaluates teacher skills in terms of student learning. (Justiz, 1969) Short-term feedback. Increases control over nonteacher variables assumed to influence student. (Glass, 1974)	Does not allow for assessing student growth over time. Expensive to conduct. Not a normal classroom situation.	Need personnel trained in design of controlled situation evaluations and in student performance testing. Requires extra teacher preparation time.	Evidence on student learning under controlled conditions.	Improve student learning. Make employment decisions.
Self-Evaluation Teacher uses various means to gather information to assess performance relative to own goals.	Can be a continuous assessment. Most likely to act on data one collects oneself. (Centra, 1972) Related to own goals and needs. Essential part of professional behavior. (Simpson, 1966)	Results not consistent with other raters. (Blackburn and Clark, 1975) May be unwilling to collect and/or consider data relative to his/her performance. (Simpson, 1966) Tend to rate themselves higher than students do. (Centra, 1972)	Teacher must have self-confidence and security. Need skills in identifying goals and collecting appropriate data. Must not be used for determination of promotion, salary or related decisions. (Centra, 1972)	Information on progress toward one's own goals.	Help teachers improve. (Simpson, 1966; Centra, 1972) Determine best assignments

APPROACH	Strengths	Weaknesses	Conditions for Effective Use	Nature of Evidence Produced	Purposes for Which Most Highly Appropriate
Supervisor Observation Administrators evaluate a teacher's performance through classroom observation, review of student learning data, feedback from students.	Familiar with school and community goals and values. (Ryans, 1973) Often have additional information about teacher performance. Can compare teachers within a school. Requires minimum of resources for observation, feedback, follow-up. Have legal responsibilities for evaluation and related decisions.	Bias due to previous data, personal relationships, reason for observation, own values and favored teaching methods. Lack of current teaching experience may distract focus.	Supervisor needs adequate time and observation and review skills. Observation must focus on characteristics of teaching that relate to desired student outcomes. (Glass, 1974)	Comments on relations between teacher acts and student behaviors. Information on how teachers compare on certain factors. Comparisons with methods supervisors consider to be good. Directions on changes to be made.	Determine best assignments. Make employment decisions. (Popham, 1974) Convince public. Gather release evidence. (Popham, 1974)
Peer Evaluation Other teachers evaluate a teacher's performance through classroom observation, review of student learning data, feedback from students.	Familiar with school goals, priorities, values and problems teachers face. (Ryans, 1975) Encourages professional behavior; e.g., upgrade own profession. Can be chosen from teacher's subject area and thus may be able to give specific suggestions.	Bias due to previous data, personal relationships, need to have fellow teachers "look good." Staff relationships may suffer. Possible bias due to evaluator's preference for own teaching method. (Ryans, 1975)	Requires high degree of professional ethics and objectivity. Requires observational and analysis skills. Need time for multiple reviews.	Comments on relations between teacher acts and student behaviors. Comparisons with methods peers consider to be good. Suggestions for teachers on methods, etc., to use.	Help teachers improve. (Flanders and Morine, 1972) Identify teacher for merit recognition.
Visiting Team of Experts People external to the system recognized as qualified in teacher evaluation procedures observe teacher performance and/or review student learning data.	Can select evaluators with special skills. External to politics, problems and biases of the school. Provides reliable data through pooling of independent ratings. (Ryans, 1975)	Bias of evaluators due to own values, preferences, etc. Evaluators not accountable to district. Costly to bring visiting team in for sufficient time. School may tend to ignore data collected this way.	Experts must be properly selected and oriented. Need time for multiple observations and reviews.	Comments on relations between teacher acts and student behaviors. Comparisons with methods peers consider to be good. Suggestions for teachers on methods, etc., to use.	Help teachers improve. Convince public.
Observer Rating Tool Use of a standardized instrument to describe a teacher's performance. Data depends on instrument rather than on rater.	Lessens observer bias. Provides reliable data. (Flanders and Morine, 1972) Provides quantifiable evidence.	Does not provide judgmental data. Costly and time consuming. Focus on process rather than product criteria. (Popham, 1972)	Need trained observers and several observations. (Flanders and Morine, 1972)	Quantified information on certain teacher and student behaviors.	Help teachers improve. (Flanders and Morine, 1972)

Source: James O'Hanlon and Lynn Mortesen, University of Nebraska *CEDR*, Winter, 1977, Vol. 10, No. 4

Chapter 4

Evaluation Techniques: Improving Your Effectiveness



Despite high-sounding philosophies and rhetoric to the contrary, evaluation frequently is viewed as negative, by both those being evaluated and those doing the evaluating. All of the tension can't be dissipated, certainly, and improving the performance of students requires changes. Apparently, however, school administrators have a difficult time persuading teachers to "buy into the system." At least, that was a problem before the evolution of the trend toward self-improvement and the acceptance, as George Redfern puts it, that "both the evaluatee and the evaluator have an investment in the outcome of these efforts."

Moving from once-a-year observations and checklist evaluations by supervisors to cooperative planning for change in individuals requires sophisticated skills. Without these skills, the trust that is implicit in the improved forms of evaluation will be lost and the efforts will become merely perfunctory.

Two evaluation experts have become leaders in delineating the specific areas in which evaluation techniques need to be updated—and devising ways to do that. They are George Redfern, now a consultant to national elementary and secondary principal groups and former deputy executive secretary of AASA, and Stanley Schainker, whose clinical supervision approach is being presented by the Far West Laboratory for Educational Research and Development in San Francisco.

Redfern is a "father" of the performance objectives approach in public education; Schainker favors clinical observation. The two methods follow similar patterns, requiring planning, observation and follow-up.

Evaluator Preparation: In the Beginning

Whether selecting what Redfern terms "performance improvement commitments" (PICS) or preparing for a clinical observation, evaluators need to do some preparation themselves. Schainker lists suggestions for conducting a pre-observation conference and questions that a principal can ask during the pre-observation conference to make it more productive. (See illustration, "Pre-Observation Conferences" on page 44.)

Redfern says that the initial conference with a teacher in the PIC process is to help the teacher establish commitments to improvement. The evaluator should:

- Think about the conference; don't approach it without sufficient preparation.
- Choose a meeting place that will be conducive to the free interchange of ideas.
- Strive for a nonthreatening atmosphere.
- Ensure that the purpose of the conference is clearly understood.
- Be willing to offer suggestions for strengthening improvement commitments.

Pre-Observation Conferences

Suggestions

- At the beginning of the session, explain to the teacher what you are trying to accomplish by holding the pre-observation conference.
- Solicit information and opinions from the teacher that will help you in making the classroom observation. Avoid discussing extraneous matters during the conference.
- Use effective communication skills (e.g., paraphrasing, perception checking, etc.) to be sure to understand what the teacher is really saying.
- Inform the teacher of your "bottom line" expectations for the classroom observation.
- Ascertain the expectations that the teacher has for you as an observer and evaluator.
- Always allow some time for the teacher to ask you questions about the process, your expectations or other related matters in which the teacher has an interest.
- Clarify the general timing of the actual classroom observation that will follow. At the very least, give the teacher a general idea regarding when you will be observing. (You may even want to let the teacher determine the timing of the observation.)

Questions to Make the Conference Productive

- What kinds of important learning activities have occurred during the past few weeks in your class or classes?
- How do you intend to follow-up on these activities during the next week?
- What specifically do you expect your students to learn from these activities?
- How do your expectations relate to district priorities or district expectations?
- How will you determine whether or not your students have learned whatever it is that you want them to learn? During each lesson? At the conclusion of a unit of study?
- Have there been any learning activities in your classroom during the past few weeks that have been significantly less successful than you had hoped?
- What has caused those activities to be less successful than you had hoped?
- Are there any particular learning activities or lessons that you would not want me to observe during the next week? If so, what are they and why do you feel that way?
- Does any particular group of students within your class (or does any particular class) present special problems for you as a teacher?
- How are you attempting to deal with those students (or that class) to alleviate those problems?
- Are there any particular aspects of your teaching on which you would like supervisory feedback? If so, what are they?
- What kinds of general expectations do you have for me as I make this classroom observation?
- What other general types of information do you think I would need to better understand what you are trying to do when I make my next observation?
- What questions do you want to ask me so that you can better understand this entire process?

Source: Stanley Schainker, Far West Laboratory for Educational Research and Development, San Francisco, California

- Assist, when necessary, in drafting well-constructed improvement commitments.
- Put agreements in writing to confirm plans.

Redfern adds that whenever an improvement objective is written, teachers should be able to answer three simple questions:

- What am I to do?
- How am I to do it?
- How will I know when I've achieved the objective?

Further, he says, the teacher being evaluated deserves explicit support and help in order to carry out the stated objectives. This support might include an understanding of who is responsible for monitoring and providing feedback, how often observations will occur and by whom, what information will be used other than that acquired in observations and what new resources will be available and who will secure them.

Classroom Observations: To Take Notes or Not

There is no consensus on how observers should record data from classroom visits, says Redfern. Some take notes; others believe note-taking distracts the teacher. Some use checklists; others wouldn't be caught with one. Redfern's guidelines are that what's done and how it is done should be discussed in the pre-observation planning conference. He also says that the observer should make some notations to avoid forgetting things that will be important to discuss with the teacher. (See "Classroom Observer Guide," pages 49-50.)

Schainker agrees that recording basic information is necessary. He has detailed his suggestions for observers in the classroom. (See illustration, "Conducting Classroom Observations" on page 46.)

Time at Task: Keeping a Scorecard

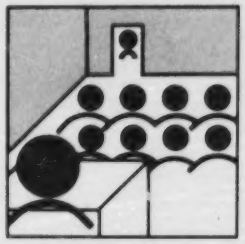
Several years ago, largely as the result of studies at Stanford University, a technique using a 35mm camera was devised to record classroom activities. This procedure was costly and time-consuming, however, and gradually a refinement was developed that requires only paper and pencil. One variation created by Keith Acheson and John Hansen from the Teacher Education Projects in Florida is known as SCORe. It provides instruments that enable an observer to record what is seen in a classroom without having to make an immediate value judgment. This "at task" technique, variations of which were used in the Beginning Teacher Evaluation Study, is a way of getting a handle on how each student is spending the time in a classroom.

In *Classroom Observations and Conferences with Teachers*, Acheson and Hansen tell how to use "at task." The observer:

- Finds a place in the front of the room which will allow observation of all the students.
- Constructs a chart which resembles a seating pattern of the students in the room that day.
- Indicates on the chart the sex and some identifying characteristics of each student. (The latter is not necessary when the students are known but is particularly important when students will be moving about the room during the lesson.)
- Systematically examines the behavior of each student for a few seconds to determine if the student is "at task," that is, doing what the teacher considers appropriate.

The observer devises symbols to indicate what students are doing and marks them on the seating chart. Schainker has developed different score worksheets. One worksheet allows the observer to tally selected verbal behaviors of students—who answered questions, what was the teacher's verbal feedback to students and how much of the feedback was negative/positive. Another worksheet breaks down the instructional time in a classroom, indicating the activity for each minute of a class period.

The Salem, Oregon, guide to the clinical supervision model uses a variation of this approach. The guide lists nine data-gathering tools: audio or video tape, verbal flow studies, movement pattern charts, teacher question lists, teacher feedback patterns, at-task analyses, pupil observation survey, interaction analysis and verbatim or selected verbatim transcripts.



Conducting Classroom Observations

- Be prompt and arrive at the beginning of the lesson or the learning activity that is being observed.
- Stay to the completion of the lesson or the learning activity that is being observed. This is important for seeing the sequence of the lesson and it tends to convey to the teacher that you are being both fair and thorough.
- Remember that your primary objective is to collect data. Avoid doing things that interfere with the attainment of that objective.
- Be as unobtrusive as possible. Your very presence in the classroom represents a potentially disruptive influence, so do not add to this situation by talking to students, "taking over" the lesson or showing signs of irritation or displeasure regarding what is happening in the room.
- Although there are times when it might be appropriate for an administrator to participate as "a student" while in a classroom, you should refrain from taking this role while making a formal observation. Such role-playing can detract from the concentration needed to complete the task at hand.
- Position yourself in such a way within the room that you can observe the behavior of both the teacher and the students. Even though you are there to observe the teacher, you obviously can learn much from the students' reactions to the teacher's words and actions.
- Do not limit your attention to the verbal interaction within the classroom. Nonverbal behavior of both the teacher and the students also can be very revealing.
- Make some written notes about what happens within the classroom as you observe. It is especially important to record some basic information such as the number of students in attendance, the content of the lesson and the instructional strategies being used. Few supervisors can recall the specifics of their observations on the basis of memory alone. (In addition, you cannot rely on the teacher's lesson plan for this information because what is implemented is not always what was planned.)
- Refrain from making value judgments as you are observing. (Premature judgments often lead to selective perception which undermines the supervisor's effectiveness.) Try to limit your notes to descriptions of behavior that you actually see. You will have time to analyze your data and to make an assessment of the teacher's effectiveness after you complete your observation.
- As you leave the class at the conclusion of the lesson or learning activity, remind the teacher of the subsequent steps in the evaluation process and express thanks for allowing you to observe the class.
- Avoid giving the teacher your assessment of his or her performance until you have had an adequate opportunity to reflect upon what you have seen. Teachers quite often will try to solicit your opinion of their performance as you leave their rooms. Do not get trapped into making a hasty judgment.

Source: Stanley Schainker, Far West Laboratory for Educational Research and Development, San Francisco, California

Post-Observation Conferences: Making the Most of Evaluation

The most critical skill in evaluation, says Redfern is that of assessing the results of observations and other evaluation techniques and conveying the information properly to the person being evaluated. During the school year, he points out, assessments generally are "formative," and the parties involved know there is still time to reach the performance objectives. At the end of the school year, however, the person being evaluated and the one doing the assessment "must come to grips with performance results." It is impossible to totally avoid subjective assessments, Redfern adds, but the evaluator "should make a vigorous effort to have plausible explanations for subjective assessments. The person being evaluated has a right to know how such judgments were reached." Redfern offers these guidelines:

- Be fully prepared to make valid assessments. Make sure that you have fulfilled as completely as possible all your responsibilities as evaluator. Thorough preparation is the best guarantee for making valid assessments.
- Remember that conferring with the individual about evaluation results is as important as making valid assessments.
- Take time for a post-conference assessment to evaluate how well you did and what could be done to improve your conferencing skills.

Redfern has prepared an inventory for use before a conference and after one. (See pages 51-52 for Redfern's assessment tools.)

Schainker has developed a list for evaluators on how to conduct the post-observation conference. He emphasizes involving teachers in assessing their own performances—positively.

Written Evaluations: Saying It Clearly

Schainker also has developed a primer on how to write performance reports and summary evaluations. He stresses the importance of being specific and says that the basic question to ask is: "Have I clearly stated what I wanted to say so that the person whose performance is being assessed will understand specifically what I mean?" When describing the situation that was observed, Schainker suggests avoiding use of words like **appeal, imply, tend, attempt, seem, think, want.**

Rather, he suggests, state what the person actually was doing or saying by using active verbs like **answering, collecting, dem-**

"Open" and "Closed" Supervisory Responses

"Open" supervisory responses or statements are those which allow the teacher to retain control over behavior. They help the teacher to explore issues, to examine alternatives and make decisions about what should be done. Some examples of typical "open" supervisory responses are:

- "What types of help can I give you?"
- "Can you think of other ways that the same objective could be attained?"
- "I thought that the way that you handled that problem was interesting."
- "Which of the alternatives that we've been discussing do you feel would work best in your situation?"

"Closed" supervisory responses or statements are those which decrease the teacher's feeling of control over his or her own behavior. They serve to cut off discussion, to block the exploration of new ideas or options and often are perceived by the teacher as being significant constraints. Some examples of typical "closed" supervisory responses are:

sponses are:

- "If I were you, I would have tried to get more of the class actively involved in the discussion."
- "Based upon my experience, I feel that the most effective thing that you can do is to supplement the text with outside readings."
- "Why didn't you try to get Mary to help Jane complete the assignments?"
- "If you recall, I told you that approach wouldn't work."

onstrating, gesturing, lecturing, questioning and **writing.**

Do not use words that convey value judgments like **effective** or **ineffective, appropriate** or **inappropriate, proper** or **improper, consistent** or **inconsistent, organized** or **disorganized, meaningful** or **meaningless, right** or **wrong, involved** or **uninvolved.**

Schainker says that although a supervisor must make value judgments when assessing performance, some words are frankly judgment-oriented and do not promote clear communication. Some examples of these words are **able, adequate, creative, fair, individualized, motivated, prepared, rigid, sensitive, uncooperative, wrong.**

There are also some "professional jargon" words that often convey different meanings to different people, Schainker warns. He suggests defining terms when using words like **classroom climate, independent study, prescriptive, interdisciplinary, teaching team.**

Schainker also says that using qualifying words like "I believe" or "In my judgment" is redundant because the evaluator is obviously evaluating. He also warns supervisors not to undercut the assessment by using "hedge-words," like "I guess that" or "It seems that."

In addition, a supervisor could face legal problems for characterizing another person in writing with words like **bigoted, crazy, incompetent, stupid, unprofessional.**

Remember, says Schainker, that the basic supervisory principle of all performance reports and summary evaluations is to be specific "so you can reinforce the behavior that you think is desirable and/or extinguish the behavior you think is undesirable."

Three Approaches to Classroom Observation

William Streich, superintendent at Farmington, Massachusetts, has outlined three primary types of classroom observation for his supervisors, indicating their relationships to organizational theory.

Checklists based upon job descriptions, school or town objectives, principles of teaching or characteristics of good teachers could be used if the organizational orientation were to be primary. A checklist utilizing the "technical skills of teaching" would be an example of this type of observation. The observer determines whether the technical skills, such as (1) establishing set; (2) acquiring attending behavior; (3) providing feedback; (4) achieving closure; etc., are evident in the classroom.

Clinical supervision, on the other hand, emphasizes the teacher as an individual. Communication between the supervisor and teacher is important. Relaxation, the teacher's frame of reference and reaching "agreements" between teacher and supervisor are important aspects of the clinical approach. Classroom observations which use the clinical or adaptations of the clinical approach emphasize the personal dimension of organizational theory.

A third approach to classroom observations is called **participant observation,** educational ethnography or the anthropological field method. This approach places the observer in a position of studying the total classroom and all of its interactions and collecting data on classroom happenings. These data (field notes) are then translated into a descriptive narrative, and hypotheses are developed or "theories" about classroom problems and processes are brought out.

For purposes of teacher appraisal, classrooms may be observed from an organizational point of view using checklists, such as the "technical skills of teaching." They can also be observed from the personal dimension utilizing techniques such as clinical supervision. Ethnographic observations which are neutral to both the organization and the individual teacher may also be used to gather evaluative and teacher appraisal data. Each of these approaches to classroom observation could be used to gather similar data.

The Classroom Observer Guide

ITEMS TO GUIDE OBSERVER IN MAKING OBSERVATIONS

KEY: Y = Yes; N = No; NE = Not Evident

DOES THE TEACHER:	Circle
1. Teach to objectives?	Y N NE
2. Relate teaching activities to stated objectives?	Y N NE
3. Observe accepted teaching-learning principles?	Y N NE
4. Show evidence of good subject-matter background?	Y N NE
5. Monitor extent to which students understand the lesson?	Y N NE
6. Relate today's lesson to previous ones?	Y N NE
7. Handle opening-of-class routines expeditiously?	Y N NE
8. Have materials, supplies, and equipment ready for use?	Y N NE
9. Use textbooks and related materials effectively?	Y N NE
10. Make subject matter interesting and meaningful?	Y N NE
11. Recognize all students when they wish to recite?	Y N NE
12. Adapt instruction to the learning level of students?	Y N NE
13. Use teaching techniques which facilitate learning?	Y N NE
14. Show consideration of pupils' feelings?	Y N NE
15. Respect opinions and suggestions of students?	Y N NE
16. Manage the class efficiently?	Y N NE
17. Handle behavior problems effectively?	Y N NE
18. Show evidence of being able to cope with unforeseen problems?	Y N NE
19. Show good taste in dress and manner?	Y N NE
20 Make understandable assignments?	Y N NE
DO THE STUDENTS:	
1. Show interest in the class?	Y N NE
2. Appear to understand what is being taught?	Y N NE
3. Show a cooperative attitude?	Y N NE
4. Demonstrate positive behavior?	Y N NE
5. Ask thoughtful questions?	Y N NE
ARE THE PHYSICAL FACILITIES:	
1. Conducive to learning?	Y N NE
2. Attractively arranged?	Y N NE
3. Well maintained?	Y N NE
4. Maintained so as to protect the health and safety of pupils?	Y N NE
5. Adequate to the needs of teacher and pupils?	Y N NE

Classroom Observer Guide Con't.

OBSERVATION REPORT

DIRECTIONS: In the right column are some items to check (if you observe them). In the left column, write comments, impressions, and recommendations (related to the items in the right column).

TEACHER:_____ CLASS:_____

DATE/OBSERVATION:_____ LENGTH/OBSERVATION:_____

Comments/Recommendations	Items
I. Instruction:	I. Instruction: ___Evidence of in-depth knowledge of subject ___Teaching to objectives ___Relating activities to objectives ___Observance of individual difference of students ___Keeping students on task ___Evidence that students understand what is being taught ___Asking provocative questions ___Other (specify)
II. Environment:	II. Environment: ___Appearance of room ___Physical arrangements ___Climate for learning ___Organization of class period ___Other (specify)
III. Management/Logistics	III. Management/Logistics ___Class management ___Handling behavior problems ___Rapport with students ___Coping with unforeseen events ___Opening of lesson ___Closing lesson ___Making assignment ___Other (specify)

COMMENTS:

OBSERVER:_____ POSITION:_____

Observation Assessment Tools

QUESTIONS TO HELP YOU ASSESS PERFORMANCE	KEY
DIRECTIONS: Use this self-assessment "tool" to make sure that you are adequately prepared to make valid assessments.	3 = YES 2 = PARTIALLY 1 = NO 0 = UNCERTAIN (Circle)

1.	Will the classroom observational data you have support your assessments of instructional effectiveness?.....	3 2 1 0
2.	Can you comfortably justify your subjective assessments?.....	3 2 1 0
3.	Do you have sufficient documentation to support your assessments?.....	3 2 1 0
4.	Have you maintained continuing contacts with the person during the year, so that the end-of-year assessments are unlikely to be surprising to the evaluatee?.....	3 2 1 0
5.	Have you fulfilled the evaluator commitments you may have made to the evaluatee at the outset of the evaluation process?.....	3 2 1 0
6.	Do your assessments reflect strengths as well as deficiencies in the evaluatee's performance?.....	3 2 1 0
7.	Do you feel you had ample information to enable you to judge, with reasonable accuracy, the extent to which the evaluatee's objectives were achieved?.....	3 2 1 0
8.	Have you adhered to the procedural aspects of the evaluator's role in the appraisal process?.....	3 2 1 0
9.	Do your assessments reflect your candid opinion (telling it like it is) of the evaluatee's performance?.....	3 2 1 0
10.	Are your prepared to defend your assessments if they are challenged by the evaluatee?.....	3 2 1 0
11.	Should you be accused of harassment in evaluating one or more of your evaluatees, are you prepared to refute the charge?...	3 2 1 0
12.	If you were to be asked to show that you have adhered to the "comparability principle" in assessing your evaluatees, are you prepared to do so?.....	3 2 1 0
13.	If others, besides yourself, provided supplemental evaluative data about the evaluatee's performance, are you able to affirm that you assume primary responsibility for the assessments on the end-of-year evaluation report?.....	3 2 1 0
14.	If you are obliged to recommend non-renewal or termination of contract, do you feel you have ample "evidence" to support your recommendation?.....	3 2 1 0

Observation Assessment Tools Con't.

POST-CONFERENCE PERCEPTION INVENTORY

DIRECTIONS: Use the perception inventory to determine how you (evaluatee) felt about the end-of-year conference to discuss evaluation results.

---

1. Which of the following most nearly reflected your feelings about the conference to discuss the implications of the evaluation results before the conference took place:

__ a. Was apprehensive
__ b. Was curious about what would occur
__ c. Had no particular feeling about it
__ d. Had a good idea what it would be like
__ e. Had no apprehension about it
__ f. Other (specify): _____

2. When the conference was over, which of the following best described your feelings about it?

__ a. Was uneasy and defensive
__ b. Had a negative feeling
__ c. Had neither a negative nor a positive feeling
__ d. Felt good about the conference
__ e. Felt motivated
__ f. Other (specify): _____

DIRECTIONS: Circle the response that best indicated your view of the conference:

KEY: 3 = YES 2 = SOMEWHAT 1 = NO 0 = UNCERTAIN

3. Was the conference well planned?..... 3 2 1 0
4. Were the assessments discussed fair?..... 3 2 1 0
5. Was the conference held in a comfortable setting?..... 3 2 1 0
6. Was the atmosphere non-threatening?..... 3 2 1 0
7. Did both the evaluatee and evaluator participate freely in the conference?..... 3 2 1 0
8. Was there any game-playing during the conference?..... 3 2 1 0
9. Was criticism given constructively?..... 3 2 1 0
10. Was praise given honestly and sincerely?..... 3 2 1 0
11. Did you feel put down during the conference?..... 3 2 1 0
12. Was the conference ended on a positive note?..... 3 2 1 0

Chapter 5

Evaluation Results: Using them Fairly

Selecting an evaluation approach and acquiring the specific skills to make it work well are only parts of a total commitment to improving the education of all students. The big picture sweeps from high standards expressed by the school board to procedures that protect students from personnel who cannot live up to those standards.

As policies and trends evolve, school administrators realize the central role that personnel evaluation plays in improving education programs. According to the survey responses for this AASA publication:

- School district leaders are beginning to realize that **personnel evaluation begins with policies adopted by the school board,** reflecting community standards. Ideally, the school board regularly reevaluates the evaluation program and establishes system-wide annual goals that become guidelines for principals and teachers.
- **Teacher involvement in the process is essential.** This need represents a dilemma in many school districts because of the reluctance of some teachers' associations to cooperate with what they perceive as a potential threat to job security. As the cooperative model gains acceptance and evaluators' skills are improved, administrators hope for greater teacher commitment to the process. In some cases, teachers would like to be involved but meet administrator resistance.
- **Time is short.** State mandates on personnel evaluation have, for the most part, remained flexible and allowed school districts to work out criteria best suited to their needs. However, because of the accountability movement and changing governance patterns in education, school administrators see the possibility of stricter modes of evaluation being imposed that might interfere with the delicate progress toward collaboration.
- **Personnel evaluation is inextricably tied to program evaluation.** The major current issue here is a temptation to use test scores of students to evaluate teachers and programs. The AASA companion report, *Evaluating Educational Programs*, examines this issue.
- **School boards, administrators, students and the community must be protected by proper due process procedures** that emphasize turning unsatisfactory performance into satisfactory performance and encouraging principals or other evaluators to make "tough" personnel decisions.

Although tying performance to personnel decisions seems to be a future *must* for survey respondents, most do not directly link the two currently.

Evaluation and Layoffs: Confronting a Tough Issue

For example, few of those replying to the survey for this AASA publication indicated that evaluation was being used to make layoff decisions. But it is a question that will increasingly confront school boards and school administrators in many parts of the country over the next few years. Often, schools are tied to layoff procedures that are based solely on seniority, or "last in-first out."

So far, the only substantial research in this area concludes that school officials should consider performance-based layoffs "with caution and a spirit of moderation." Susan M. Johnson, reporting on her research in the *Harvard Educational Review* (May 1980), describes the experiences of four suburban school systems with performance criteria in the reduction-in-staff provisions of their collective bargaining agreements. Such practices are feasible, she found, but she also learned:

"Local institutional factors including school committee and administrative leadership, community attitudes and past practices in staff evaluations seem to determine whether the policies are successfully instituted. Furthermore, the interviews with principals indicate that such practices cannot be implemented without a price. From the principal's perspective, performance-based layoff practices have unintended consequences at the school site. The requirements for equitable procedures thoughout the district compromise the autonomy of the local school; alter the role of the principal as protector, provider and instructional leader; jeopardize the cooperative and collegial relations among staff and diminish the effectiveness of teacher supervision. These unintended consequences of performance-based layoff practices call into question their educational worth. . . ."

Evaluation and Merit Pay: Paying for Performance

Likewise, fewer than five percent of those replying to the AASA survey said evaluations were used for awarding merit pay—a statistic that probably reflects equally the low incidence of provisions for merit pay itself. The only references were to determine salary increases for teachers at the top of the pay scale.

One school district, however, has not avoided the issue. In fact, the Clayton, Missouri, district, a small suburban system near St. Louis, has devised a unique standard of evaluation for merit pay.

Beginning with the 1981-82 school year, four current teachers were awarded salary bonuses of up to $5,000 each. They were nominated by current staff members and selected by the school board. Although the teachers' association did not approve of this plan, says Superintendent Earl Hobbs, staff in every school participated and cooperation on the overall plan seems to be high. The purpose, as adopted by the school board, "is to promote the desirability of being a Clayton teacher, honor the teaching profession, enhance the community status of teaching and instill pride, satisfaction and commitment among the staff."

Another part ot the professional development plan provides incentives at the school building level. About $375 per teacher is allocated to individual buildings and is controlled by the principals for activities "to improve pride, satisfaction and commitment on the part of the staff; staff workshops; educational stipends; conference expenses, and curriculum work." Principals also have a $300 discretionary fund "to promote rapport and build morale through small-item expenditures on behalf of the faculty."

Individualized Evaluations: Tailoring Your Efforts

Using evaluations for positive results seems to be the key. To do this, districts may have to tailor evaluation efforts to the needs of the person being evaluated. James O'Hanlon and Lynn Mortesen of the University of Nebraska at Lincoln have a plan that does just that. They recommend setting aside a separate evaluation system to identify very good teachers. For all evaluation systems, they recommend greater use of student performance and student opinions and would rely on these two measures for identifying the best teachers. "Only some of the teachers in a school would be evaluated," they explain in an article in *CEDR*, a quarterly published by Phi Delta Kappa (Winter 1977).

"Emphasis would be placed on studying student outcomes through tests and on aiming the student and peer evaluatons at what is being learned."

Teacher Involvement: Making the Process Positive

In the words of Donald DuBois, supervisor of staff development for the Salem, Oregon, public schools, "Teacher evaluation, historically, has been a mess. Teachers often feel naked and defenseless by the 'inspection' and 'report card' system. For principals, the teacher evaluation process is a gut-wrenching, time-consuming duty." Salem's answer is to make no large distinction between supervision and evaluation.

The Salem teacher evaluation plan reflects the concept that there are certain behaviors of teachers which influence student learning. Therefore, these behaviors should be used to judge teacher proficiency. The standards should be shared with teachers, and teachers should be trained or retrained in the specific skills needed for effectiveness.

The first step in the process is to help teachers and principals understand these ground rules for evaluation. To accomplish this, the Salem school district developed a 20-minute slide/tape presentation. This presentation is used, says DuBois, because it helps to transmit a single, standard message to all teachers as opposed to the possibility that several principals might give several versions of the evaluation plan.

A second step in implementing the Salem plan is helping teachers incorporate new teaching methods that research shows make a difference in student learning. "It is not enough for the teachers to have read the research findings," says DuBois. They need specific instruction, modeling and guided practice to include those skills, knowledge and attitudes into their teaching practices. Salem does this by using a select group of "master teachers" as coaches of the other teachers. Principals, too, receive the same training as the "master teachers."

A third step in the Salem plan is to train the teacher-evaluators to be "competent managers of the teacher evaluation process," says DuBois. The school district has a 15- to 20-hour evaluator inservice program, supported by videotapes, participant workbooks and a leader's guide. Furthermore, the district believes it is essential to support the principal as a "teacher of teachers."

DuBois says Salem has taken another step in shaping its evaluation program that often is not given much serious consideration—"reducing the stress, trauma and the downright pain of change." The school district's goal, he says, "is to reduce anxiety as much as possible." Some of the ideas the district is exploring include controlling goals to assure a high rate of success, controlling the rate of change, forming groups to give support to individuals and "ceremonializing" the evaluation process to give it status and emphasize its value.

The focus of the Salem plan is an acceptance by management team members that they alone have a quality control responsibility, says DuBois. Principals are solely responsible for gathering data and in helping teachers with efforts to improve. "We believe managers will most likey get what they inspect, rather then expect," he adds. Consequently, the Salem plan calls for more classroom observation than most plans. First-year probationary teachers, for example, are observed a minimum of four times, and even permanent teachers are observed three times during the school year.

Unsatisfactory Performance: Dealing with Difficult Decisions

"Face it directly," one superintendent wrote on his reply to the AASA survey. "Evaluation is directly related to retention!" That, perhaps, is the bottom line because if the evaluative process does not produce quality instruction, difficult decisions will have to be made by teachers and supervisors alike. The emphasis throughout this report has been on the positive aspects of evaluation—to help teachers get better. The report would not be complete, however, without some discussion of another purpose of evaluation—dealing with unsatisfactory performance.

Generally, the policies reviewed for this report remain positive when dealing with unsatisfactory performance, providing for a variety of ways to help teachers with problems.

For example, the simple procedure outlined in the Lakewood, Ohio, policies states:

> When observations and/or the evaluation report shows that a teacher has professional difficulties, the building principal or designee, shall state in writing the areas of progress, the areas needing improvement, and shall provide encouragement, suggestions and additional observations to rectify these difficulties within a reasonable time. This assistance should begin as soon as a problem is recognized. A teacher whose renewal is in question shall receive this assistance no later than December 15.

Intensive Teacher Care: A Step-by-Step Plan

David Lawson, principal of the North Branford High School, Connecticut, says that in that district, school district policy determines the future of poor performers. The principal's role includes having a plan for "intensive" care of the teacher. Lawson suggests that such an "intensive" care plan should:

- Involve each person connected with teacher evaluation. That group should confer, concur and develop objectives which the teacher will be expected to meet in order to show improvement in performance.
- Involve the superintendent of schools early in the entire process.
- Confer with the teacher to share concerns and make suggestions. It is the responsibility of the evaluator, he points out, to help the teacher improve.
- Document all conferences, meetings, observations and directives. Documentation becomes extremely important if there is a fair dismissal hearing.
- Make post-conference summaries in writing and reflect the teacher's reactions to what was discussed.
- Document any problems or breach of rules and bring them to the teacher's attention.
- Document that evaluators made suggestions for improvement, and that ample time (often set by school district policies) has been given for the teacher to improve his or her performance.
- Proofread and edit all documents placed in a teacher's file for grammar, spelling, sentence structure. Any written document is a direct reflection on the author.
- Seek the advice of the school board attorney early in the process if a fair dismissal case may be pending.

When it becomes clear that the principal is going to recommend fair dismissal, the superintendent, when feasible, should meet with the teacher to indicate that awareness of the teacher's unacceptable performance by a designated date.

Once the principal has decided to seek the dismissal of a teacher, Lawson adds, the school board attorney should be consulted and support secured from the superintendent and the school board.

Lawson's step-by-step procedure indicates a somewhat awesome responsibility on principals when there is no improvement in a teacher's performance, which may help to explain the "turkey trot" practice of principals—seeking transfers for teachers who are not performing up to standards, rather than documenting their nonperformance and preparing materials for dismissal hearings.

School Board Involvement: Supporting the Process

School boards, however, sometimes are guilty of somewhat the same reluctance. In an article in the *American School Board Journal* (June 1978), senior editor Gregg Downey recommends that if all else fails, a school board should consider buying out a teacher's contract. One superintendent figured that dismissal hearings and other due process procedures cost his district $30,000 for each teacher brought to a dismissal hearing. Buying out one year of a contract would save money, he said.

Downey advises school boards also to not abandon their principals when the going gets tough. Some assign a central office administrator to work as a partner in the process with a principal; other school districts have established a team approach to help teachers, with peers and specialists working together. This kind of help, however, must occur before there is a strong possibility of a dismissal hearing.

"You can have all the policies and standards you need, written in very lucid language," Harry Kershen, assistant superintendent of the Seaford, New York, school district, told Downey. "But when it comes right down to it, the job has to be performed by that line administrator, whose supervision, help, encouragement and—when it's time for the tough decision—whose guts are being tested."

Stanley Schainker suggests that principals and others involved in an attempt to fire a tenured teacher who is unsatisfactory first be able to answer some basic questions. Can the administration of a school district, he advises, demonstrate that:

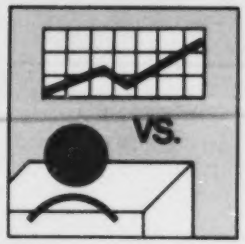
- The teacher was informed about expectations for his or her performance?
- The teacher was told of specific concerns regarding performance?
- Those expressed concerns arose from judgments related to observable or measurable teacher behavior?
- The teacher was informed of the specific expectations for improving performance?
- Those expectations were reasonable for an individual in the type of position to which the teacher has been assigned?
- The teacher has been given a reasonable amount of time in which to remediate deficiencies?
- The teacher has been provided with a reasonable amount of supervisory assistance to remediate deficiencies?
- The teacher has failed to achieve a minimally acceptable level of improvement as the result of remedial efforts?
- Its judgment regarding the teacher's failure to achieve a minimally acceptable level of improvement has been based upon observable or measurable teacher behavior?
- Its judgments regarding the teacher's deficiencies and/or lack of professional improvement have been corroborated by more than one qualified evaluator?
- All aspects of the process associated with the evaluation of the teacher's performance have been consistent with state law, board policy and school board-teacher union contract?
- It has been able to document a case of incompetence which will offset the teacher's previous record of satisfactory performance?

The AASA publication, *Staff Dismissal: Problems and Solutions*, thoroughly reviews the issues involved in staff dismissal.

Teacher's View: What's Fair and Just

No matter how positively a teacher evaluation system is described in school district policies, there are certain elements of a fair and equitable procedure that may not be legal rights, but should be part of the guarantees in contracts with teachers, says the United Federation of Teachers in New York.

- The right to be evaluated in an open, fair and helpful manner.
- The right to have at least an equal voice and participation in both development and implementation of any teacher evaluation procedure.
- The right to have a written evaluation procedure in the collective bargaining agreement.
- The right to an adequate number of representative and comprehensive evaluations.
- The right to notice before any evaluation.
- The right to be evaluated by competent, experienced and helpful evaluators.
- The right to receive a written evaluation report.
- The right to expect that any criticisms in the evaluation report should be entirely constructive in nature.
- The right to discuss the evaluation with the evaluator.
- the right to be presented with a series of alternatives for improvement of that phase of the instructional program considered to be in need of improvement.
- The right to respond in writing to any and all evaluation reports.
- The right to appeal an inaccurate or misleading evaluation.
- The right to have the evaluation process be subject to the grievance procedure.
- The right to expect the school district to honor its responsibilities in providing resources and opportunities for improvment of instruction and the quality of teaching.



Teachers vs. Evaluations

What do teachers think about evaluation systems? Officially, they want the use of evaluations limited. And the uses that are allowed, they want spelled out specifically in contracts.

The National Education Association (NEA) resolution on teacher evaluation commits the union to supporting evaluation as a means of "improvement of performance and quality of instruction offered to pupils, based upon written criteria and following procedures mutually developed by and acceptable to the teacher association, the administration and the governing board. Under no circumstances does the association believe it appropriate to make teacher certification or recertification dependent upon individual professional performance evaluations." Certain rights of teachers should be protected, the resolution says, including:

- Information concerning the evaluation criteria and procedure of the governing board upon application for employment and when changes are made in the criteria and procedures.
- Open evaluation without subterfuge and with advance notice of evaluation visits with discussion of the teacher's goals and methods.
- Consultation in timely fashion after a formal evaluation visit and receipt of and opportunity to respond substantively in writing to any formal evaluation report prior to placement in a personnel file.
- Evaluation reports which assess strengths, note progress, indicate remaining deficiencies and suggest specific measures the teacher can take to overcome indicated deficiencies.
- Participation in a continuing education program including such activities as appropriate counseling and supportive services, released time for continuing education and opportunity to observe and seek or give assistance to other teachers in classroom settings other than one's own.
- Access to and review of all items in personnel records; opportunity to attach a written response; and access to a procedure to remove inappropriate, derogatory or unsubstantiated material. Anecdotal records to be included must be reduced to writing within 30 days of the incident documented. Statutory guarantees should assure these rights.
- Supervision which is constructive provides an opportunity to correct deficiencies, takes into account the variety of learning and teaching environmental factors and emphasizes career development of the professional educator.

Furthermore, the association opposes any plan that ranks teachers on the basis of competency, opposes the use of exams such as the National Teacher Examination as a condition of employment, evaluation, criterion for certification, placement or promotion and opposes the use of pupil progress and student assessment tests for teacher evaluation, advancement on salary scales, tenure, certification or promotion.

The American Federation of Teachers' (AFT) official position is much briefer and reflects skepticism about the evaluation process. It points out that teacher evaluations by admin-

istrators "are of doubtful validity in that they often involve evaluation of the practitioner solely by the nonpractitioner." So, AFT urges all locals:

". . . to work for the elimination of teacher evaluation solely by administrators, before tenure, and for the total elimination of involuntary teacher evaluation after tenure, in the drawing up of future collective bargaining contracts or memoranda of understanding. . . ."

AFT differs with the NEA on some testing aspects, however. At its 1981 annual convention, the AFT approved policies that require rigorous testing and lengthy internships before teachers are certified. It, however, does not support use of the National Teacher Exam. One approach which the AFT has long supported is a merger of contract clauses on evaluation and inservice education with specific dollar figures given for inservice education "so that the concept of constructive, formative evaluation to improve instruction can be realistically implemented."

Unofficially, "we don't encourage teachers to become involved in setting particular criteria because then they are helping to determine on what basis teachers will be fired," says Frances Quinto, teacher development specialist with the NEA. If there is any "right" way to go in the issue, she added, then the performance-based objectives for evaluation comes closer to it than other systems. Another NEA specialist in teacher development, Bernard McKenna, urges that teacher evaluation be considered in the context of the "total school system climate and organizational arrangements." These would include "the way in which the school unit and its leadership function, in the context of the time, human and material resources and autonomy provided the classroom teacher, and in the context of the characteristics of the students themselves. Unless all of these factors are considered . . . whatever judgments (favorable or unfavorable) are made may be attributed to teachers when the compelling forces underlying teacher performance reside in places quite apart from the transactions that take place between teacher and student."

How well teachers accept the evaluation process depends to a large extent on how they view the motives of their administrators, says Rodney Muth, associate professor at Fordham University in New York City. Citing his research and that of Carl Thom of Marquette University, Muth says that administrators whose style is to "influence" rather than to coerce or wield authority will get more cooperation from teachers on evaluation and other matters. In fact, the greater the grab for power by administrators, the more likely teachers will band together to create alternative power bases. "Thus, while the organization seeks, as it must, to order behavior to increase its ability to achieve its goals, it simultaneously creates the opposite effect," he says. Muth recommends that teachers have greater participation in setting goals and procedures for evaluations—if the aim is to have more consensus about the evaluations. And principals, he adds, must do more than say their style is participatory decision-making—"they must in fact behave that way and involve their teachers in decisions which affect them if conflict over policy matters is to be reduced and enhanced outcomes in the classroom are to occur."

Legal Protections: Looking at the Law

Legal protections for teachers—and school boards—vary from locality to locality, state to state. However, Joseph Beckham of Florida State University, writing in the book, *Legal Aspects of Teacher Evaluation*, says that existing case law indicates two needs in school district policies—procedural safeguards and substantive criteria in the evaluation process. Looking at the cumulative case law on the matter across the states, he has found similar references that substantiate uniform guidelines which can be used by all school administrators. These are:

- The evaluation process should be formalized in advance of implementation, consisting of written policies defining evaluation criteria that are reasonably related to the teacher's job performance and the school system's goals and objectives.
- Criteria for evaluating teacher performance should be developed from a thorough job analysis and shown to be job-related through content or empirical validation procedures.
- Where possible, it is preferable that evaluation criteria be objective or where not obviously objective, susceptible to objective assessment.
- Subjective criteria or ratings should be considered as but one component in an overall evaluation system and should not be relied on as conclusive in making employment decisions.
- Evaluations should be based on frequent observations of job behaviors undertaken by more than one observer, each of whom is trained to observe and rate teachers.
- The administration and scoring of evaluation instruments should be uniform in application to all teachers and standardized so that weight to be given various measures is fixed for all teachers.
- Teacher evaluation policies must not be invidiously discriminatory as to stated intent, application or consequence.
- The language of evaluation instruments, including explanations and directions for use, should be simple, precise and uniform.
- Teachers should be fully informed of the criteria and procedures associated with the evaluation process.
- State statutory mandates, administrative rulings and collective bargaining agreements specifically establishing procedures and standards for the evaluation of teachers should be strictly followed.
- Evaluations should be supported by substantiated observations of teacher performance, ratings and anecdotal records gathered systematically over a reasonable period of time.
- The teacher should receive notice of the results of evaluation, emphasizing deficiencies, corrective action proposed and recommended improvement.
- Following notice of the evaluation, the teacher should be permitted to review the personnel record and comment on his or her evaluations.
- After notice of remediable deficiencies, the teacher should be given a reasonable time to make corrections and aid in remedying deficiencies before an adverse job decision is made.
- Evaluation materials; including ratings, observations, anecdotal records, notice of evaluation policy, notice of evaluation results and employee comments on evaluations should be maintained in a permanent record system in order to document elements of the evaluation process.

Beckham emphasizes that a "defined, acceptable standard of teaching, known in advance," is essential to implementing a teacher evaluation system. Likewise, a standard for teacher employment decisions that will stand judicial scrutiny requires three steps: the school system must determine, in advance, the knowledge, skills and competencies it requires; the system must develop ways for identifying and preventing incompetence through early recognition of teaching deficiencies; and the teacher must be both adequately informed of the standards and provided with an opportunity to correct deficiencies once identified.

A Team Approach: Enlisting Other Teachers

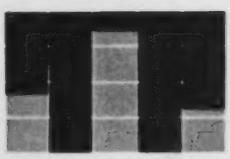
Policies of the Atlanta, Georgia, evaluation program include a team approach whenever either the evaluator or the person being evaluated requests help. Situations where the team approach may be used include:

- Where mutual agreement cannot be reached.
- In teaching methods and techniques.
- Where inservice training for specific weaknesses is needed.
- Where ineffective performance is exhibited.
- In conflict management situations.

The evaluator and the person being evaluated each select one member of the team, and the third one is mutually agreed upon. If a teacher is to be a member of the team he or she is chosen by secret ballot of the school staff annually during the preplanning session. The staff may select two teachers for each building with 30 or fewer faculty members. Another point: both parties must adhere to the recommendation of the team.

Chapter 6

States and Evaluation: Pushing for Progress



If there is a certain sameness to many evaluation programs, both within states and among states, it is because some legislatures have dipped far into defining what the evaluation process should cover. And legislators do borrow ideas from each other, across state lines. This is a "politically expedient move," says one teacher union spokesperson, Mary Louise Armiger, associate director of instruction for the New Jersey Education Association. "The regulations give the appearance that legislators and boards are concerned about teacher competence. . . . Moreover, the state government is relieved of the responsibility for the implementation of the regulations, and no additional tax moneys are expended for programs to assist teachers to improve their performances."

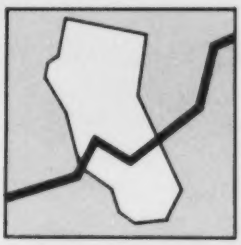
Researchers, too, have noted the trend toward mandated evaluation systems. Arthur Wise, for example, an expert on school finance equity and governance policies, noted in his book, *Legislated Learning*, that the *Robinson v. Cahill* case in New Jersey began as a lawsuit to reform school finance, but when the legislature set about to pay for the reform, it also defined what was a "thorough and efficient education," which mandated a specific accountability program for all schools, including what to use in evaluation procedures.

California is a good example of where state lawmakers "have gone after policy-making with a vengeance," says Alan Rosenthal of the Eagleton Institute at Rutgers University. The state's evaluation law, known as the Stull Act, is an example of some of the proscriptive activity by state legislators in the area of evaluation. (See illustration, "Stull Act Summary" on page 64.)

Connecticut passed a similar evaluation law, and guidelines for it were developed by an advisory committee on teacher evaluation appointed by the state board of education. (See illustration, "Connecticut Evaluation Law" on pages 66-67.)

A Model System: How Georgia Avoids Strict Mandates

In 1971, a bill introduced in the Georgia legislature would have mandated teacher certification standards. Disturbed at the prospect of externally imposed standards, educators pushed for a statewide task force on competency-based teacher education and certification. In 1981, the first teachers to pass an on-the-job assessment were granted certification. A number of states require teachers to pass competency tests, points out Associate State School Superintendent H. Titus Singletary, who guided the program from its beginning. Georgia, however, is the first to require an assessment after a teacher is employed in a classroom. The task force plan was endorsed in 1974, and although it is not free of problems, it is being looked to as a model for states.



Stull Act Summary (A summary of the California statute on teacher evaluation)

School board must adopt written guidelines. Each school district governing board must adopt a uniform set of written evaluation guidelines for use in evaluating the professional competencies of its certificated personnel in the district organization.

School board must seek advice. In developing and adopting written evaluation guidelines, a school board must avail itself of advice from its certificated instructional personnel.

School board's written guidelines must contain certain provisions. Sub-section B of Section 44662 requires that the governing board of each school district shall establish guidelines for the assessment of certificated personnel competence which shall include but shall not necessarily be limited in content to the following elements:

1. Establishment of standards of expected student progress in each area of study and of techniques for assessment of that progress.
2. Assessment of certificated personnel competence as it relates to the standards which are established for individual certificated personnel.
3. Assessment of other duties normally required to be performed by certificated employees as adjunct to their regular assignments.
4. Establishment of procedures and techniques for ascertaining that the certificated employee is maintaining proper control and is preserving a suitable learning environment.

Employees must be informed regarding the school board's written guidelines. A school board should inform each certificated employee about the district's evaluation program in advance of its implementation. Thereafter, new certificated employees should be informed about the personnel evaluation program as part of their orientation to the district. If practical, employees should be provided copies of the local guidelines and procedures, or copies should be made available at each school or unit site.

Evaluations must be made in writing. Evaluations must be in writing and transmitted to the certificated employee not later than 60 days prior to the end of the school year in which the evaluation takes place. Following this and before the end of the school year, the evaluator shall discuss the evaluation report with the person to be evaluated.

Follow-up counseling for deficient certificated employee is required. Each school board must provide for follow-up counseling of a certificated empoyee whose professional competency, as judged under the school board's written evaluation guidelines, is not up to standard, and the governing board must provide assistance for such employee to upgrade his or her performance.

Certificated employee evaluated has right to respond. Certificated employees evaluated must be given opportunities to append written statements of their views to their evaluation reports, and such statements shall be permanent parts of their personnel files.

Essentially, the Georgia certification plan requires teachers to have passed a content test in the subject areas they teach and to have received two on-the-job evaluations of their teaching abilities. This latter point is uniquely implemented. Each beginning teacher is assigned an assessment team, consisting of a full-time data collector from one of 17 regional assessment centers throughout the state, an administrator (usually the principal) and a colleague from within the school building. Teachers prepare for the assessment by developing a portfolio of plans, which are studied by the three raters, who then discuss planning and related competencies with the teacher. Each rater then visits the classroom during the unit the teacher has prepared, using the 14 competencies in the Teacher Performance Assessment Instruments (TPAI) as observation guides. (See illustration in Chapter 1, "Outline for the Georgia Teacher Performance Assessment Instruments," pages 16-17.)

At a central data processing unit, the ratings are assembled into a profile of the teacher's competencies, which is sent to the regional center within a week. A further conference is held with the teacher, and the detailed profile is used by the teacher and the school system to plan individual staff development activities. Teachers who do not receive a favorable report after a second evaluation have two more years to try.

A systematic training program for observers has been created for users of the TPAI, according to William Capie of the University of Georgia, who heads a team that has revised the TPAI and the training program annually. Trainees study plans, practice interview skills and rate videotaped lessons to compare their perceptions of standard performances with those of the TPAI developers, he explains. In 1979-80 alone, 10,000 raters were trained and approximately 4,000 assessments completed.

"Although the TPAI were created to assess beginning teachers for certification," Capie says, "they have been used in a number of other ways." For example, several large systems have used the assessments to plan staff development for experienced teachers as well, and the training program has become a staff development activity for administrators and experienced teachers. (Many school districts have trained far more observers than are necessary for the beginning teacher assessment.) He also believes the TPAI have changed the state's teacher training programs.

Based on a continuing research program on the TPAI, Capie says that the indicators for the competencies correlate with student achievement gains. "Teachers highly rated in the TPAI," he says, "tend to be associated with classes where pupils achieve more, attend more and have more positive attitudes about school and learning than do other teachers."

Georgia expects another benefit from the program, according to William Leach, director of the Division of Staff Development for the state Department of Education. In the past, he says, two out of three teachers have left the teaching profession after the third year. "I think we'll have a better survival rate for teachers with performance-based certificates," he says.

Quality Assurance Program: The Process in North Carolina

The improvement of evaluation programs is taking place coast-to-coast. Some innovative approaches seem to be centered in the South. Georgia is moving ahead on competency-based teacher certification. This is part of the plan, also, for North Carolina, but in that state there are other features equally unique.

First, the Quality Assurance Program in teacher education is a joint endeavor of the state Board of Education and the University of North Carolina Board of Governors. Representatives of the two education groups have been working together to plan and implement a total revision of teacher education and evaluation since 1979, and the state assembly in 1981 appropriated $1.25 million a year for a two-year period to try out the new plan. Major features of the North Carolina plan include:

- Early counseling and screening procedures for college students considering teaching as a career.
- Procedures for evaluation of students' general knowledge and achievement prior to admission to a teacher education program (achievement test and a writing test).

- Close supervision and evaluation of the student teaching experience as a joint responsibility of universities and public schools.
- Professional examination by criterion-referenced tests based on specific teacher competencies prior to admission to an initial, three-year period of full-time professional teaching (initial certification).
- An educational support system for teachers in their initial certification periods to help assure appropriate continuing education and professional development and to assist teachers to prepare for their evaluations for continuing certification.

During a five-year trial period, pilot centers throughout the state, linking one or more institutions of higher education and one or more local public school systems, will implement the program on a small scale, trying out various alternatives and preparing an evaluation of the program.

Eventually, say the program developers, there will have to be a better coordinated sys-

Connecticut Evaluation Law: Guiding Principles for Teacher Evaluation

- The primary purpose of teacher evaluation is the improvement of the student learning experience.
- The local school district establishes its own educational goals. Such goals form the basis of the teacher evaluation program.
- Ample time is provided for this goal-oriented approach to teacher evaluation.
- A fiscal support system is established for the purpose of assisting school districts to prepare for and conduct evaluations.

Guidelines and Criteria

Each professional shall cooperatively determine with the evalulator(s) the objectives upon which his or her evaluation shall be based:
- Written objectives for the evaluatee are developed.
- Objectives are stated in operational (observable) terms.
- Teachers and administrators work together in developing objectives.
- Objectives are jointly approved.

The evaluation program is cooperatively planned, carried out and evaluated by all levels of the staff:
- There is input from all reference groups.
- There is substantial approval of program by all groups.
- Active roles for each group are specified.
- There is a procedure to provide feedback from all groups concerning the evaluation program.

The purposes of the evaluation program are clearly stated in writing and are well known to the evaluators and those to be evaluated:
- There is a clear written statement of the purposes of the evaluation program.
- Statement of purposes is widely distributed to evaluators.
- Statement of purposes is widely distributed to those to be evaluated.
- Statement of purposes is explained and discussed with and by all reference groups.

The general responsibilities and specific tasks of the teacher's position should be comprehensively defined and this definition should serve as the frame of reference for evaluation:
- General responsibilities of each professional position are defined in writing.
- Tasks for each individual are specified.
- Above procedures serve as a reference for evaluations.

tem of inservice and continuing education in the state than is now available, one that can provide feedback on teacher evaluation to improve teacher education programs and that will provide school administrators with formal and informal advanced education in evaluation and management.

Another outcome of the program, says the planning committee, will be the identification of outstanding teachers. "One major implication of a program emphasizing quality is that it will seek quality and reward it," the committee report says. "The best teacher must be produced and retained. Incentives will be necessary to see that this happens."

A Touchy Issue: Testing Teachers to Define Competency

Has the publicity accompanying a few isolated examples of ineffective teachers made a mountain of a molehill? This is the question asked in a briefing paper prepared by Russell Vlaanderen, director of the State Services

The accountability relationship of each position should be clearly determined. The teacher should know and understand the means by which he or she will be evaluated in relation to that position:

- The evaluation process clearly states the responsibility of the evaluator to the person being evaluated.
- The evaluation process clearly states to whom and for whom each person is responsible in the evaluation process.
- The evaluation process clearly states how (methods/procedures) the evaluation is to be carried out.

Evaluations are more diagnostic than judgmental. The process should help analyze the teaching and learning to plan how to improve:

- Evaluation procedures utilized deal with identification of strengths and weaknesses of the teaching-learning process.

Evaluation should take into account influences on the learning environment such as material and professional resources:

- The evaluation process takes into consideration the level of support resources and other influences affecting the achievement of objectives.

Self-evaluation is an essential aspect of the program. Teachers are given the opportunity to evaluate themselves in positive and constructive ways:

- Opportunities are provided to each staff member to conduct a self-evaluation.
- Individuals are given the opportunity to include self-evaluation reports as part of the total evaluation report.

The self-image and self-respect of teachers should be maintained and enhanced. Positive self-concepts can be fostered by an effective evaluation plan:

- The evaluation plan focuses on strengths of professional staff members, not just weaknesses.
- There is clear statement of responsibility for maintaining and enhancing the self-image and self-respect of all professional staff throughout the evaluation process.

The nature of the evaluations is such that it encourages teacher creativity and experimentation in planning and guiding the teacher-learning experience provided children:

- The evaluation program clearly states encouragement of teacher creativity and experimentation in planning and guiding the teacher-learning experience for pupils.
- The evaluation program makes provision for teacher creativity and experimentation in planning and guiding the teaching-learning experience provided children.

The program makes ample provision for clear, personalized, constructive feedback:

- A procedure (conference or written report) for review of the evaluation is provided.
- Feedback is given on an individual basis.
- Feedback is based on diagnosis of the teaching-learning process and includes positive suggestions for improvement.

Clearinghouse for the Education Commission of the States. He noted that 1981 was a turning point in teacher certification, as the teacher competency testing movement overtook the traditional certification of a teacher according to the completion of a prescribed curriculum. By the end of 1981, 16 states required by a definite date that applicants for teacher certification pass a test for competency. (See chart.)

Vlaanderen outlined the arguments **for** teacher testing:

- A written examination will provide a method of quality control.
- It will contribute to increased public confidence in schools and the profession.
- It will provide a measurement of product, not process.
- Other professions have written examinations for licensing.

And he noted some of the arguments **against**:

- A paper-and-pencil test cannot measure instruction and classroom management skills.
- Correct answers to questions on pedagogy will vary depending upon differences in basic philosophy.
- Other characteristics of "good" teachers cannot be measured and many potentially "good" teachers may be weeded out by a test.
- Prospective teachers are tested throughout college; why add one more test?
- Some other professions having a testing program are controlled by practitioners, not lay boards.

There are serious policy questions involved in testing teachers, Vlaanderen points out, many of which are as applicable to local district testing policies as they are to state policies. For example, he asks, what happens when a school district attempts to dismiss an unsatisfactory teacher for incompetence when the teacher has in hand a state certificate attesting to his or her competence? He suggests several alternatives to teacher candidate testing, some of which are already being implemented or have been proposed:

- Raising standards for admission to teacher education programs.
- Strengthening the institutional accreditation process, stressing quality rather than quantity.
- Internships that require new teachers to serve a one-year paid trial period in the classroom before full certification is granted.
- Continuing education, especially teacher center workshops that address problems encountered by beginning teachers.
- Reforming teacher education (a thorough overhaul).
- Lengthening preservice education, requiring a fifth year of preparation before certification is granted.
- Increasing salaries to attract more capable students to teacher education programs.

Also common as an instrument for testing teachers is the National Teacher Examinations, administered by the Educational Testing Service.

Because of the competency movement in states, a "basic skills" package of tests in math, reading and writing will be offered. Other changes in the NTE, effective November 1982, include an emphasis on the ability to apply knowledge and less focus on factual recall.

As of 1981, eight states either require or use the NTE for certification—North Carolina, South Carolina, Mississippi, West Virginia, Tennessee, Arkansas, Louisiana and Virginia. Many other states use area exams from the NTE to certify specialists. About 75,000 prospective teachers take the NTE each year.

A Controversial Concern: Testing Students

No more controversial subject exists in the teacher evaluation area today than that of using student test score data to evaluate teachers. It was almost unmentionable until a few years ago when public concern over the quality of education motivated school officials to examine ways to show improvements in student achievement. For example, in the 1981 Gallup Poll on Public Attitudes Toward Public Education, one of the sets of questions dealt with the proposal for a nationwide examination of students for graduation. Not only did the public approve of the exam, but a majority favored release of the results to the press (53 percent) and they overwhelmingly favored published comparisons of test results with other public

schools with similar racial and economic enrollments (91 percent). In other words, the public seems to favor using standardized tests to grade students and schools. It seems logical, then, that the public would look favorably on using student test results for teacher accountability.

Only a handful of those answering the survey for this AASA publication listed student test scores as a criterion for teacher evaluation, but several would have added it to the preferred criteria, often listing it as the priority item. Several approaches have, in fact, been developed by researchers and evaluation experts for using student test scores for formative evaluations. It is the area of using test results for summative evaluations that is particularly controversial.

Researchers Marvin Alkin and Stephen Klein, for example, have proposed in *Evaluation Comment* that the judgments of principals or panels are subjective, but that measures of student performance—controlled for previous student skill levels, socioeconomic status and possible fault in the prescribed curriculum—can be objective. As a modified alternative, they recommend performance tests for curriculum units in which students have had no previous instruction. Teachers would have a certain amount of time to teach a unit, and student knowledge would be assessed at the end of the period. Others, including Madeline Hunter and James Popham, have suggested variations of this approach.

Jason Millman, professor of educational research methodology at Cornell University, notes, in the *Handbook of Teacher Evaluation*, that data sources other than test results are not very reliable. "Research has shown," he summarizes, "that student learning information does not duplicate the information obtained by other indicators of teacher effectiveness." Opponents have strong arguments, too, he says. They content that "the best teacher in the world would not fare very well if faced with slow learners, unmotivated students, a poor learning environment and an achievement measure out of harmony with the teacher's goals."

All of these arguments—and many more—are being played out in the one state where state policy has brought student achievement to the forefront of the teacher evaluation issue. In 1978, the state Board of Education in New Jersey adopted a new set of regulations to ensure a "thorough and efficient" education in every school building. It mandated an evaluation system. One of the items to be considered in an annual summary conference between supervisors and the teaching staff is a "review of available indicators of pupil progress and growth, toward the program objectives," despite intensive lobbying by the New Jersey Education Association against such a provision. In the words of the state's Commissioner of Education Fred Burke, the teachers' association believed "the camel was now all but inside the tent. Having experienced a rare political defeat by not prevailing on the state board to delete a reference to student progress, the New Jersey Education Association (NJEA) sought redress in the federal courts," he explained in a speech before fellow chiefs in Colorado Springs in the summer of 1981. The case was dismissed in all points except the pupil progress issue where the teachers' association withdrew its suit but not without declaring "prejudice," a contention that the alleged wrongdoing still existed.

Because of the controversy over this aspect of teacher evaluation and other regulations, Burke issued a clarification of the state board's policies. "Test scores are not specified in the code as criteria of performance nor does the code accept test scores as an adequate single measure of pupil progress," he said. "The code, as adopted, does not specify any criteria to be used for review of performance. The state board of education has mandated that multiple indicators of pupil progress be reviewed annually to determine if program improvements should be made or if changes in the performance of the teaching staff members are needed. This review is a separate aspect of the evaluation process."

However, NJEA, through state meetings, workshops, publications and other communication, has strongly cautioned teachers against accepting the use of any kind of test scores for evaluation. It points out that assessment of student improvement "shall include but not be limited to" the following:

States Requiring Testing for Certification

State	Authority	Year Enacted	Year Effective	Type of Evaluation
Alabama	SBE	1980	1981	State/NTE
Arizona	Legislature	1980	1980	State
Arkansas	Legislature	1979	1983	NTE
Colorado	Legislature	1981	1983	State*
Florida	Legislature	1978	1980	State
Georgia	SBE	1979	1979	State
Louisiana	Legislature	1977	1979	NTE[1]
Mississippi	SBE	1977	1977	NTE
New York	SBE	1980	1984	State
North Carolina	SBE	1979	1981	State
Oklahoma	Legislature	1980	1982	State
South Carolina	Legislature	1979	1982	NTE/State
Tennessee	SBE	1980	1981	NTE
Texas	SBE/Legislature	1980-81	1981	State
Virginia	Legislature	1980	1980	NTE
West Virginia	SBE	1961	1964	NTE

Source: Education Commission of the States, *Issuegram*, August 1981

SBE = State Board of Education
NTE = National Teacher Examinations
[1]Task Force studying appropriateness of NTE at this writing.
*Basic skills only

- Teacher observation.
- Parental or guardian interview.
- Formal and informal evaluation methods.
- Cumulative pupil records.
- Student performance data collected in local testing programs which meet state criteria.
- State testing results.
- Visual, auditory and/or medical exams.

NJEA contends that all of the above factors must be considered by the supervisor if any reference to or discussion of pupil progress is made. In addition to disadvantages for students, the association contends that there are a number of disadvantages for teachers in using pupil progress to evaluate teachers. Teachers will:

- Feel forced to teach to the test.
- Be pressured to award high grades.
- Avoid assignments to low ability groups, remedial students, the handicapped.
- Teach "safe" topics at the expense of others.
- Flee tough teaching problems in urban and rural areas.
- Be judged unfairly because of district and/or school variations in specialized personnel, materials, related services.
- Be at a disadvantage when the system does not operate equitably for all teachers (self-contained classroom, effect of pupil-out remedial programs, inequitable class size/teaching load).

Because of the pupil progress issue and a state-mandated basic skills test that is being used to certify schools, "teachers are feeling like testing coaches, not teachers anymore," according to Norman Goldman, director of instruction for NJEA. "We have governance by testing in New Jersey."

NJEA has supported teacher evaluation, even promoted it as long as the purpose was constructive, Goldman says, "but as soon as this punitive element (certification of schools on the basis of student performance of basic skills) entered the picture, that soured the whole thing."

Burke notes, however, that statewide testing of students, "and, indeed, even of teachers in New Jersey . . . has been legislated and repealed over the years depending upon the degree of public confidence existing at the moment." And he explains why testing, and the use of test scores as part of evaluation procedures, is in the fore again.

"More than 70 percent of New Jersey's aging electorate do not have children in public schools," he says. "Faced with double-digit inflation and a sagging standard of living, New Jersey citizens are little inclined to accept on face value educators' homilies that the quality of education be left to them to define in subjective terms. No longer are voters inclined to support increased taxation on the basis of what was increasingly perceived as subjective self-evaluation. . . . Increasingly, a jaded public looks elsewhere—to the media, to post-secondary tests and to the marketplace for evidence of the quality of education. . . . Given this erosion of public support and the availability of modern testing technology, statewide testing to secure accountability (and, by implication, New Jersey's approach to incorporating it into teacher evaluation) is an idea whose time had clearly arrived."

Chapter 7

The Principal's Role: Evaluating the Evaluator

"If it is true that teacher evaluation is still in the dark ages of development, then principal evaluation is in the stone age," suggests Gary Natriello of Stanford University's Center for Research and Development in Teaching after examining a decade of literature (1965-75) on educational personnel evaluation. On the one hand, some evaluation experts believe principals should be evaluated on the basis of clearly defined roles of the principal; on the other hand, some who have studied the problem believe principals should primarily be evaluated on the basis of how they evaluate their staffs. And, say a few research studies, principals suffer from the same lack of well-defined concepts of performance and confidence in the ability of those evaluating them.

Kenneth DePree, in a paper presented at a recent AASA convention, suggested that an evaluation plan should integrate supervision and evaluation. He saw several barriers to the acceptance and adoption of an administrator performance evaluation program:

- Administrators often feel that evaluation is something that is done to them and not for them.
- Many current evaluation systems use a checklist of predetermined qualities which administrators feel are oriented to past practices.
- There is often a lack of clear definition of job functions.
- There is a tendency to equate evaluation with observation, and administrators dislike such observation.
- Administrators sometimes lack skills, knowledge and understanding relative to performance evaluation.
- It is difficult for many educators to accept the view that performance evaluation, which they associate with business, is appropriate in school. . . .

In order to overcome these barriers, DePree suggests several strategies:

- Seek the support of the superintendent and administrative staff by providing adequate time for such a program.
- Clarify the job functions of administrators.
- Involve those who will be evaluated in the design of the evaluation system.
- Provide inservice training concerning the process of evaluation.
- Systematically review the program to evaluate administrators at least annually.
- Do everything possible to keep issues of performance evaluation away from the process of collective bargaining.

The principals' point of view has been well articulated by William Pharis, former executive director of the National Association of Elementary School Principals now on the faculty at Auburn University. He says that principals want an evaluation system that:

- Measures reality.
- Considers only controllable variables.
- Spells out clearly in advance what criteria the principals are to be measured against.
- Is not subject to different conclusions by different evaluators.
- Permits principals to have some voice in determining goals.

Evaluation of principals presents a unique practical problem, says Natriello. "Unlike teachers and students, principals usually have no evaluators working with them on a day-to-day basis," he points out. "The superintendent and board of education are often their only superiors, and they rarely see principals in action. These supervisors must somehow distinguish the productivity of the principals from that of the teachers in order to evaluate them both. Are higher reading scores the result of the principal's efforts, the teachers' efforts, or both?"

His review of the research shows substantial efforts to establish plans and policies for evaluation of principals. School systems have worked on performance criteria. Instruments have been devised to measure their performance and the participation of both principals and teachers in the process has been adopted as a principle in many school systems. Most evaluation systems so far include the setting of objectives, self-evaluations, evaluations by teachers, team evaluations that include teachers, peers and central staff and evaluations by teams of peers. Joseph Licata of Ohio State University has suggested that instead of using teacher assessments for individual principals, those evaluating principals use a district-wide profile based on principal "averages." This profile would indicate teachers' perceptions about the "average" principal in the district, and if stored in a data bank, it would give supervisors a description of trends in the district-wide perceptions of the performance of principals.

Notwithstanding the efforts so far, Natriello suggests that there are some unresolved policy questions that plague the development of an adequate concept of the evaluation of principals. He asks:

- Should the principal be evaluated on the overall performance of the school?
- Should specific dimensions of the principal's role become the focus of evaluation?
- Should the principal be evaluated on his or her evaluations of the teaching staff?
- What aspects of the principal's performance are linked to his or her own effectiveness?
- What aspects are linked to the school's effectiveness?

A Model Plan: Administrators as Specialists

Dale Bolton of the University of Washington has developed suggestions for the development of a program to evaluate educational administrators, based on his contention that administrators are specialists—that their responsibilities are to carry out the goals of their school systems (*Evaluating Administrative Personnel in School Systems*, Teachers College, Columbia, University, NYC, 1980).

Relying heavily on the management-by-objectives approach, Bolton suggests some general elements for an evaluation system:

- It is a continuous and cyclical process.
- It includes examination of input, process and output.
- It involves consideration of processes and products of several people.
- It is a subsystem interrelated with other subsystems in the school organization.
- It involves self-evaluation plus evaluation by outsiders.
- It includes the assessment of common objectives and unique objectives.
- It should be monitored to determine its effectiveness.

Bolton's plan includes three phases:

- **Phase 1** —Planning for evaluation involves analysis of a specific situation, establishment of purposes, setting goals and specific objectives and deciding on the means to be used for measuring.
- **Phase 2** —Collecting information involves monitoring and measuring the activities planned and the outcomes that result from the activities.
- **Phase 3** —Using information includes communication regarding the analysis and interpretation of information as well as making decisions about the next steps to be taken.

One of the necessary next steps, he adds, is that of evaluating the process. Bolton says school districts should ask certain questions about their plan: Is the evaluation system helping administrators do their jobs better? Is evaluation functioning in all aspects of the management system? Is sufficient time being spent to implement the evaluation procedures? Is the system of evaluation purposeful? Is the evaluation of administrators cyclical and self-correcting? And what results can be attributed directly to the administrator evaluation system?

Evaluation and District Goals: Tying the Two Together

A task force on professional evaluation for the Montgomery County, Maryland, school district developed a school-based administrator reevaluation system built on the principle that the more humane a system, the more satisfied and productive will be those who work in it. The policy adopted by the school board assumes that the evaluation process will respect the worth and dignity of the individual, will involve individuals in setting both personal and organizational objectives, foster imagination, ingenuity and creativity, recognize work well done and contain the elements of both self-appraisal and appraisal by others according to agreed-upon objectives. In other words, the purpose of the evaluation system should be to help principals and assistant principals improve their effectiveness.

What to Evaluate: Criteria for Principals

What school systems look for in performance by principals varies little in content, but quite a bit in length. In larger school systems, regional or assistant superintendents are responsible for evaluation of principals. In smaller school systems, the superintendent has this function, although the process in either case often is aided by a team approach. For example, in the Andrews, Texas, schools, a chart delineates who evaluates whom with a team approach used for most of the administrators. (See illustration, "Who Evaluates Whom in Andrews" on page 76.)

An example of a relatively brief list of criteria for principals comes from the Montgomery County, Maryland, evaluation instrument. Those criteria include:

- Demonstrates a knowledge of the needs, interests and feelings of students.
- Directs the establishment and maintenance of a school philosophy and an educational program consistent with school community characteristics and Maryland County schools' goals and policies.
- Selects, orients, assigns, supervises and evaluates staff in order to attain the objectives of the educational program.
- Utilizes human and material resources available to staff in order to attain the objectives of the educational program.
- Plans and provides for an environment which supports the educational program and maintains the mental and physical health and safety of students and staff.
- Uses administrative and management practices which promote the efficient and effective operation of the school.
- Assures the proper evaluation of student progress and of the effectiveness of the program to determine what practices or objectives to maintain or modify.
- Strives to establish and maintain a school community which practices the principles of democracy, reflecting recognition of and respect for each individual.
- Shares responsibility for the area and total Montgomery County schools program.
- Identifies areas for personal/professional growth, acquires appropriate skills and information and applies them.

In the Highlands School District at Natrona Heights, Pennsylvania, a much more detailed performance guide is used for principals, supervisors and other administrators twice a year. Ratings given include excellent, satisfactory, unsatisfactory or not applicable. (See pages 81-85 for the Highlands School District form.)

In the Corvallis, Oregon, school district, each school building administrator works out a plan for teacher involvement in the administrator evaluation, which is submitted to the superintendent for review in the fall. The plan, for example, might include building goals that will be sought in addition to district-wide goals.

Who Evaluates Whom in Andrews

Evaluatee	Prime Evaluator	Contributing Evaluator(s)
Asst. Supt. of Instruction	Superintendent	
Director of Business Affairs	Superintendent	
Director of Operations/Plant Services	Superintendent	
Tax Assessor/Collector	Superintendent	
Athletic Director	Superintendent	**B.,C.,D.**
Principal/Elementary Schools (4)	Superintendent	**A.,B.,C.**
Principal/Middle School (1)	Superintendent	**A.,B.,C.**
Principal/High School (1)	Superintendent	**A.,B.,C.**
Director of Accounting	Director of Business Affairs	
Director of Vocational Education	Director of Business Affairs	**H.S. and M.S. Principal**
Reading Coordinator	Asst. Supt. of Instruction	
Special Education Coordinator	Director of Business Affairs	**A.,D.**
Visiting Teacher	Director of Business Affairs	**A.,D.**
Assistant Principal	Principal, High School	**A.**

Key:
A = Assistant Superintendent of Instruction
B = Director of Business Affairs
C = Director of Operations and Plant Service
D = Principals

The plan, adds George Coon, director of personnel, must be open to everyone on the staff and the administrator has the option of commenting on the input of the staff. (Anything that is submitted anonymously goes only to the person being evaluated.)

In addition, every fourth year each building administrator is evaluated by a three-person committee of administrators, one of whom is named by the person being evaluated. They review the personal goals of the principal and of the school building, visit the building as a committee and again as individuals at least twice during the school year. Their report is discussed with the principal being evaluated before being submitted to the person who is responsible for the evaluation of the principal. Performance standards developed by the district are brief. For example, in the area of human relations and communications, the district policy says that a competent administrator will demonstrate skill in:

- Communicating with staff, students, parents and other patrons of the community.
- Working with others.
- Reconciling conflict.
- Interpreting the district's policies to staff and community.

And in the area of professional behavior, the skills listed are to the point:

- Recognizing the worth and dignity of all persons.
- Promoting high educational standards.
- Promoting the democratic process.
- Using judgment based upon available facts.

Self-Evaluations of Principals: A Basis for Objectives

Unlike teacher self-evaluations, which tend to be used as checkpoints for teachers only, self-evaluations by principals tend to be woven into evaluations by superintendents or others or become the basis for performance objectives. For example, in the Mason County Central school district in Scottville, Minnesota, a self-evaluation form is first completed by each school administrator, then by the superintendent. The comparisons become the basis of a conference between the administrator and the superintendent. The self-evaluation rating includes commendable, acceptable, needs improvement to meet standards, unsatisfactory and insufficient information. (See illustration "Self Evaluation in Mason County" on pages 86-88.)

From the discussions about the self-evaluation, the principal or other administrator in the Mason County Central schools outlines objectives, using a management-by-objectives instrument. (See illustration, "Management by Objectives in Mason County" on page 89.)

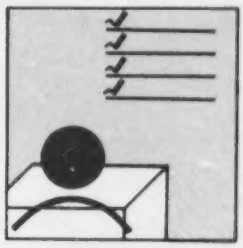
Evaluation by Teachers: A Qualified Diagnosis

According to the National Education Association, three out of four teachers say that teachers should evaluate principals. Yet principals often argue that teachers are not accurate sources of information about their performances. Principals have to carry out certain organizational functions that might create hostility, they say.

However, Joseph Licata of Ohio State points to evidence that teacher assessments of the performance of principals relate significantly to school climate and certain school outcomes. Although he considers teacher data to be "tentative," Licata, nonetheless, would include it in any plan to improve the leadership abilities of school principals. He suggests that teacher assessments be conducted regularly—quarterly, biannually or annually by the principals or by a central data-gathering source in the school district. Principals could, he suggests, select a data collector to distribute and collect the assessment instruments—someone who "teachers know will maintain their anonymity and who principals know will keep the assessments confidential." The evaluations would be returned directly to the principal who would score them and build a diagnostic profile. "In this way, only the principal knows the findings and only the principal owns the data." (See illustration, "Administrator Evaluation Form" on page 78.)

Improving the Process: Training Principals as Evaluators

If their expertise in evaluating and helping teachers is to be a focal point of their own evaluations, principals need to know how to do it well. With the advent of research that



Administrator Evaluation Form
Shakopee Senior High School
Shakopee, Minnesota

Administrator_____ **Date**_____

The validity of any form of this type depends entirely on the truthfulness of the responses. I am asking for your honest opinions.

Rating scale of 5 to 1. Number 5 being the *highest rating* and number 1 the *lowest*. A zero indicates "can't answer" or "don't know."

I. Attitude toward work:

____ 1. Takes responsibility.
____ 2. Seems to enjoy the position.
____ 3. Has a professional attitude and approach to the job.

II. Effectiveness as a person:

____ 4. Exhibits sensitivity, empathy and acceptance necessary for establishing rapport.
____ 5. Functions in an organized manner.
____ 6. Respects the individual.
____ 7. Has a sense of humor.
____ 8. Is professionally ethical.
____ 9. Appears poised and stable.

III. Effectiveness with teachers:

____10. Is sensitive to the role and problems of the teacher.
____11. Communicates easily and effectively with teachers.
____12. Functions effectively as resource consultant to teachers in matters of curriculum, student activities and human interaction as well as the concerns for psychological climate surrounding learning experiences.
____13. Attends to, follows through and reports back on teacher referrals of several types.
____14. The work of individual faculty members is appreciated and commended by the administrator.
____15. Administrator is concerned with the problems of the faculty and handles these problem sympathetically.
____16. Administrative leadership in faculty meetings challenges and stimulates our professional growth.
____17. I do not hesitate to discuss any school problem with my administrator.
____18. I feel that my work is judged fairly by my administrator and that he or she is effective in teacher supervision.
____19. The administrator makes effective use of the individual teacher's capacity and talent.

IV. Effectiveness with parents:

____20. Is understanding of parental concerns.
____21. Promotes free and easy communication between school and home.
____22. Follows through with parents in reducing crises and/or responding to their needs.

V. Effectiveness with students:

____23. Is sensitive to student needs.
____24. Has good rapport with students.
____25. Is consistent and fair in discipline of students.

points to successful teacher behaviors, performance objectives and clinical supervision, among others, a nostalgic ability to "wing it" in teacher evaluation probably is not sufficient these days. According to the survey for this AASA publication, many school districts have not yet or are only beginning to realize the need for specific training of administrators in evaluation processes. A few have made such training an essential part of the evaluation plan. Many have used outside consultants, set up their own workshop programs or sent principals to conferences and workshops.

According to a survey by the Educational Research Service, 61.4 percent of its respondents provided some kind of training for evaluators. The following methods were ranked by frequency:

- Inservice training;
- Summer workshops for administrators;
- Dissemination of handbooks, circulars and memos on teacher evaluation;
- Use of outside consultants;
- Clinical supervision workshops;
- University/college courses in educational administration; and
- Internship programs for administrators.

As a result of a statewide steering committee consisting of representatives from all levels of education and all school districts in Nevada, the state education department contracted with the Far West Laboratory for Educational Research and Development in San Francisco for a training program for school principals throughout the state. Teacher supervision and evaluation is one of the three problem areas covered in the program. (The others are instructional leadership and curriculum planning and program evaluation.)

"We don't push any one way of evaluating," says Stanley Schainker, who has been conducting the program throughout the state. "We give principals a repertoire of things to choose from, but the emphasis is on producing a lot of discussion between principals and teachers. Principals need to be evaluators all the time, not just half a day a year."

In Schainker's view, systematic programs of administrative staff development must address the six underlying problems that tend to limit the effectiveness of many teacher evaluation programs. These are:

- Lack of time needed to do a thorough job.
- Lack of expertise regarding the teaching/learning process.
- Lack of observational and/or feedback skills.
- Lack of commitment to teacher improvement needed to do a professional job.
- Lack of self-confidence and professional security needed to do an honest job.
- Lack of established procedures and criteria needed to do a consistently fair job.

Typical of a productive locally developed training program is the workshop approach of the metropolitan school district of Wayne Township at Indianapolis, Indiana. The purpose of the program is to increase classroom observation, conferencing and reporting skills of principals.

The metropolitan workshop includes hands-on experiences in classroom observations, conducting and evaluating conferences with teachers and writing evaluation reports. One exercise involved describing "the teacher I'd like to have. . . ." (See illustration, "The Teacher I'd Like to Have" on page 80.)

Bureaucrats and professionals have different characteristics, contends Llewellyn Parsons of the Department of Educational Administration at Memorial University of Newfoundland, Canada. Therefore, educational administrators who must evaluate professionals should avoid:

- Telling professionals what to do and how to do it;
- Applying inflexible rules and checking to see that they are rigidly followed;
- Expecting professionals to follow the same plan of action;
- Using rating scales to evaluate efficiency;
- Administering tests to determine whether minimum standards have been met; and
- Acting in an impersonal manner.

Instead, the supervisor of professionals must encourage his or her colleagues to:

- Be flexible in their methods and procedures;
- Provide alternative methods to deal with uniqueness of clients' problems;
- Exercise professional judgment and discretion when dealing with clients.

The Teacher I'd Like to Have

A. Brainstorm terms or phrases that characterize the kind of teacher you would like to have on your staff.

1. Human - qualities - understanding - sensitive
2. Personable - Pleasant - sense of humor
3. Competent - knowledge
4. Creative
5. Organized, Industrious
6. Enthusiastic
7. Flexible
8. Self - confident
9. Cooperative
10. Model - example
11. Open mind - to change - to ideas
12. Rationale - Positive Attitude
13. Consistent
14. Healthy

B. Given your brainstormed list, develop a list by consensus of the five (5) most desirable dispositions of an effective teacher.

THE TEACHER MUST BE:

1. empathetic
2. pleasant, positive, person - self-confident - enthusiastic - State of Mind
3. competent
4. good example or model
5. Flexible + principled

C. Be prepared to share with the group.

Get along with others.
Disciplinarian
professional
Part of the team system
Able to deal with all kind of people
Dedicated to education
Involved in total school / community activities

Highlands School District Performance Guide For Administrators/Principals/Supervisors

NAME_____ **POSITION**_____

BUILDING/DEPT._____ **DATE**_____

This form has been developed as part of a continuous improvement program for management personnel. It is intended to identify weaknesses and strengths and to cooperatively develop a program for improvement.

EVALUATION TERMS

E — Excellent
S — Satisfactory
U — Unsatisfactory
NA — Not applicable or insufficient knowledge on which to evaluate

A—PERSONAL RESPONSIBILITIES:

____ 1. Enthusiastic about work?
____ 2. Attends and contributes to professional meetings?
____ 3. Accepts constructive criticism?
____ 4. Accepts board/administrative decisions and works enthusiastically toward achieving goals even though they may not conform to personal opinions?
____ 5. Gives full consideration to majority and minority opinions?
____ 6. Takes advantage of opportunities for professional growth that are available beyond the requirements of the district?
____ 7. Shows the initiative required of a person in this position?

COMMENTS _____

_____

_____

_____

B—ADMINISTRATIVE AND PROFESSIONAL RESPONSIBILITIES:

____ 1. Effectively delegates authority for the betterment of the school program?
____ 2. Organizes subordinates for maximum efficiency and effectiveness?
____ 3. Assumes the leadership for the overall morale of the building or group?
____ 4. Allows flexibility to guide relations with teachers, students and parents?
____ 5. Interprets and enforces the school/district policy in area of responsibility?
____ 6. Assists in planning the staff's professional growth program and encourages participation in inservice education programs?

____ 7. Views the activities of the classroom of primary importance to the school program?
____ 8. Fulfills the responsibility for administering attendance policies in the school?
____ 9. Fulfills the responsibility for the administration of the health and safety of students in the school?
____10. Provides assistance toward helping teachers improve?
____11. Is receptive to new ideas?
____12. Involves teachers in the decision-making process where appropriate?
____13. Willing to make decisions which may be unpopular yet be best for the overall program?
____14. Reports and proposals are accurate, complete and objective (type that can be relied upon)?
____15. Maintains adequate reports and records on students and interprets them accurately?
____16. Assists new teachers to become a part of the school system and community?
____17. Communicates pertinent information to administrators, teachers and students?
____18. Accepts the fact that this school is a unit in the total school system and that it cannot be operated independently or always receive the first consideration?
____19. Attempts to see the overall or total picture?
____20. Is punctual at meetings and with reports?
____21. Regular in attendance at meetings where presence is expected?
____22. Is willing to give services beyond minimum requirements to school/district activities?
____23. Is willing to accept advice and suggestions from others?
____24. Does evaluate teachers' methods of grading students?
____25. Does systematically supervise and evaluate teacher utilization of teaching supplies and care of equipment and facilities?
____26. Does abide by district policy and philosophy in daily work and activities?
____27. Exerts leadership and assists in developing philosophy, policy and curriculum as school operates within the framework of the district?
____28. Insures proper communication and articulation among all the schools of the district?

COMMENTS _____

_____

_____

_____

C—COMMUNITY RESPONSIBILITIES:

____ 1. Promotes constructive relationships between the school/district and the community?
____ 2. Constructively interprets the school program and the policies to the community when the occasion arises?
____ 3. Is professionally ethical in all relationships?
____ 4. Encourages good professional ethics in others?
____ 5. Keeps the board and community informed concerning the school program?

COMMENTS _____

_____

_____

_____

D—MANAGEMENT OF FACILITIES:

____ 1. Administrative office has a congenial and friendly atmosphere?
____ 2. Directives are clear and well understood?
____ 3. Is safety conscious about the school facilities?
____ 4. Plans with the custodial and maintenance staff for the efficient operation of the school plant?
____ 5. Effectively maintains school plant with the resources available?
____ 6. Buildings and grounds reflect a positive image?
____ 7. Maintenance and utility costs of the building compares favorably with like schools in the district?
____ 8. Encourage students to show school pride in their buildings and campus?
____ 9. By example, lead the school in economical use of materials and supplies?

COMMENTS _____

_____

_____

_____

E—INSTRUCTIONAL SUPERVISION:

____ 1. Assists teachers in establishing meaningful goals, objectives and concepts?
____ 2. Assists teachers in developing effective lesson preparations and regularly reviews their written lesson plans?
____ 3. Assists teachers in evaluating their methods and materials?
____ 4. Regularly visits classrooms?
____ 5. Plans with appropriate staff for more effective teaching?
____ 6. Assists and encourages teachers to adjust their educational program to individual pupil needs and abilities?
____ 7. Assists teachers in using community resources in their instructional program?
____ 8. Assists teachers in providing a classroom atmosphere conducive to good learning?
____ 9. Assists teachers in developing satisfactory growth in basic skills for all pupils?
____10. Assists teachers in developing good skills and study habits for their pupils?
____11. Assists teachers in helping children to analyze and evaluate themselves and their growth?

COMMENTS _____

_____

_____

_____

F—ADMINISTRATOR AND STUDENT RELATIONSHIPS

____ 1. Encourages student leadership in activities such as class government and student council?
____ 2. Aids students in developing responsibility for their conduct?
____ 3. Attempts to have the students assume responsibility for the behavior of their peers and the neatness of their school?
____ 4. Encourages students to respect the rights, properties and opinions of others?

____ 5. Understands and respects students as individuals?
____ 6. Encourages in students an appreciation for their civic rights and responsibilities of our democratic institutions?
____ 7. Encourages the development of student behavior?

COMMENTS _____

_____

_____

_____

G—PHYSICAL TRAITS:
____ 1. Personal appearance is neat and appropriate?
____ 2. Speaks clearly?
____ 3. Uses correct grammar?
____ 4. Attempts to correct personal habits and mannerisms which detract from effective leadership?

COMMENTS _____

_____

_____

_____

H—EMOTIONAL TRAITS:
____ 1. Able to meet frustration without becoming hostile toward teachers, students, administrators, parents and others?
____ 2. Shows a genuine respect, concern and warmth for others and a sympathetic understanding of individual problems of both student and adult?
____ 3. Is open-minded, happy and tolerant in a personal outlook on life?
____ 4. Is able to work effectively with others?
____ 5. Is patient?

COMMENTS _____

_____

_____

_____

I—STAFF RELATIONSHIPS:
____ 1. Treats the staff with respect due other professionals?
____ 2. Staff feels free to approach on any matter of concern?
____ 3. Recognizes in general and in particular those departments and staff members whose performance has been outstanding?
____ 4. Admonishes *privately* those staff members whose performance is not acceptable?
____ 5. Uses discretion and consideration in speaking of the school/district and colleagues?

____ 6. Assumes leadership in solving school/district problems when the opportunity presents itself?

COMMENTS _____

_____

_____

_____

Summary Of Performance Factor Guide

(Check One)

— Excellent
— Satisfactory
— Unsatisfactory

COMMENTS _____

_____

_____

_____

COMMENTS _____

_____

_____

_____

Evaluator: _____ _____

Position: _____ **Date:** _____

I acknowledge receipt of a copy of this report.

_____ _____

(Signature) (Date)

Self-Evaluation in Mason County

The following self-assessment evaluation form will be completed by each administrator. The superintendent will also complete one on each administrator. The comparisons will be the subject of a conference between the administrator and the superintendent.

EVALUATION TERMS

4 — Commendable—Exceeds normal standard
3 — Acceptable—Meets standards
2 — Needs improvement to meet standards
1 — Unsatisfactory and fails to meet standards
0 — Insufficient knowledge on which to evaluate

PERSONAL RESPONSIBILITIES
To what extent?

____ 1. Am I enthusiastic about my work?
____ 2. Do I attempt to use ideas gleaned from professional magazines and bulletins?
____ 3. Do I attend and contribute to professional meetings?
____ 4. Do I accept constructive criticism profitably?
____ 5. Do I accept administrative decisions and work enthusiastically toward achieving goals even though they may not conform to my personal opinions?
____ 6. Do I give full consideration to majority and minority opinion?
____ 7. Do I show the initiative of a person in my position?

ADMINISTRATIVE AND PROFESSIONAL RESPONSIBILITIES
To what extent?

____ 8. Do I assume leadership for morale?
____ 9. Do I interpret and carry out school/district policy in my area of responsibility?
____10. Do I show interest and concern for classroom activities?
____11. Do I fulfill the responsibility for the administration of attendance policies?
____12. Do I fulfill the responsibility for the administration of the health and safety of students in the school?
____13. Do I provide assistance toward helping teachers improve?
____14. Am I receptive to new ideas?
____15. Do I involve teachers in the decision-making process where appropriate?
____16. Am I willing to make decisions which may be unpopular yet be best for the overall program?
____17. Are my reports and proposals to my supervisors accurate, complete and objective . . . the type that can be relied upon?
____18. Do I maintain adequate reports and records on students and interpret them to the greatest extent of their values?
____19. Do I communicate pertinent information to teachers and students?
____20. Do I accept the fact that my school or my particular field is a unit in the total school system and that it cannot always receive first consideration?
____21. Am I punctual? (to my office, at meetings, with reports?)
____22. Am I regular in attendance at meetings where my presence is expected?
____23. Am I willing to give my services beyond minimum requirements to school/district activities?
____24. Am I willing to accept advice and suggestions from others?

80

____25. Do I evaluate teachers' methods of grading students?
____26. Do I systematically supervise and evaluate teacher utilization of teaching supplies and care of equipment and facilities?
____27. Do I abide by district policy and philosophy in my work and activities?
____28. Do I exert leadership and assist in developing philosophy, policy and curriculum as my school or program operates within the framework of the district?
____29. Do I ensure proper communication and articulation between the schools above and below mine?

COMMUNITY RESPONSIBILITIES
To what extent?
____30. Do I promote constructive relationships between the school/district and the community?
____31. Do I constructively interpret the school program and the policies to the community when the occasion arises?
____32. Am I professionally ethical in all relationships?
____33. Do I encourage good professional ethics in others?
____34. Do I keep the community informed concerning the school program?

MANAGEMENT OF FACILITIES
To what extent?
____35. Is my office neat and attractive?
____36. Does my office have a congenial and friendly atmosphere?
____37. Are my directives clear and well understood?
____38. Am I safety conscious about my facilities?
____39. Do I plan with the custodial staff for the efficient operation of the school plant?
____40. Do I effectively maintain my plant with the resources I have available?
____41. Do my buildings and grounds reflect a positive image?
____42. Do the maintenance and utility costs of my building compare favorably with like schools in the district?
____43. Do I encourage students to show school pride in their buildings and campus?
____44. Do I lead my school or office in economical use of materials and supplies?

INSTRUCTIONAL SUPERVISION
To what extent?
____45. Do I assist teachers in establishing meaningful goals, objectives and concepts?
____46. Do I assist teachers in developing effective lesson preparations and do I regularly review their written lesson plans?
____47. Do I assist teachers in evaluating their methods and materials?
____48. Do I regularly visit classrooms?
____49. Do I plan with consultants and/or counselors for more effective teaching?
____50. Do I assist and encourage teachers to adjust their educational program to individual pupil needs and abilities?
____51. Do I assist teachers in using community resources in their instructional program?
____52. Do I assist teachers in providing a classroom atmosphere conducive to good learning situations?
____53. Do I assist teachers in developing satisfactory growth in basic skills for all pupils?
____54. Do I assist teachers in developing good skills and study habits for their pupils?
____55. Do I assist teachers in helping children to analyze and evaluate themselves and their growth?

ADMINISTRATOR AND STUDENT RELATIONSHIPS
To what extent?

____56. Do I encourage student leadership in activities such as class government and student council?
____57. Do I aid students in developing responsibility for their conduct?
____58. Do I try to have the students assume responsibility for the behavior of their peers and the neatness of their school?
____59. Do I encourage pupils to respect the rights, properties and opinions of others?
____60. Do I understand and respect students as individuals?
____61. Do I encourage in students an appreciation for their civic rights and responsibilities of our democratic institutions?
____62. Do I encourage the development of student behavior based on a sense of moral values?

PHYSICAL TRAITS
To what extent?

____63. Is my personal appearance neat and appropriate?
____64. Do I speak clearly in a well-modulated voice?
____65. Do I use correct grammar?
____66. Do I attempt to correct personal habits and mannerisms which detract from effective leadership?

EMOTIONAL TRAITS
To what extent?

____67. Am I able to meet frustration without becoming hostile toward teachers, pupils, administrators, clerical personnel and others?
____68. Do I show genuine respect, concern and warmth for others and a sympathetic understanding of individual problems of both child and adult?
____69. Am I open-minded, happy and tolerant in my outlook on life?
____70. Am I able to work effectively with others?
____71. Am I patient?

STAFF RELATIONSHIPS
To what extent?

____72. Do I treat my staff with respect due other professionals?
____73. Does my staff feel free to approach me on any matters of concern?
____74. Do I praise in general and in particular those departments and staff members whose performance has been outstanding?
____75. Do I admonish *privately* those staff members whose performance is not acceptable?
____76. Do I use discretion and consideration in speaking of my school/district and colleagues?
____77. Do I try to protect teachers from burdensome nonprofessional tasks?
____78. Do I assume leadership in solving school/district problems when the opportunity presents itself?

Management by Objectives in Mason County

Indication of success in results

GENERAL RESPONSIBILITY	SPECIFIC RESPONSIBILITY	INDICATOR	ACCEPTABLE MINIMUM	EXPECTED AVERAGE	MAXIMUM
Instructional Management	Staff relations	Above average score on MASSP	Three teacher contact hours per day	Four teacher contact hours per day	Five teacher contact hours per day
		Administrator evaluation form		One staff/dinner picnic	Two staff dinner/picnics
	Development of policy and philosophy	Distribution of teacher handbook to staff		Write-up and distribute handbook to staff	Distribute handbook; Hold inservice meetings to explain and implement philosophy
	Teacher recruitment	Keep teacher turnover to less than 10%	Be involved in 80% of middle school recruitments	Be involved in all teacher recruitment at the middle school level	
	Teacher evaluation	Meet state tenure law requirements of three non-tenure evaluations per year	Non-tenure evaluation three per year	Non-tenure evaluation four per year	Non-tenure—five per year
				Tenure-three per year	Tenure—four per year
	Instructional objectives	Have each teacher working/developing their general teaching objectives	Each teacher starting to develop teaching objectives	Each teacher will have a set of well-defined goals and objectives of how to attain these goals	Each teacher will have well-defined goals and teaching objectives and an effective pre- and post-testing program to determine effectiveness.

Acknowledgments

AASA extends its appreciation to Anne Lewis, Executive Editor of *Education USA*, who is the author of *Evaluating Educational Personnel*. We also appreciate the substantive review and suggestions of Ronald Brandt, Executive Editor for the Association for Supervision and Curriculum Development (ASCD), and Robert Bender, Coordinator of Planning for the Planning and Assessment Office of the Fairfax Public Schools in Virginia.

Our special thanks to William Spady, Director of AASA's National Center for the Improvement of Learning (NCIL), who offered advice and counsel and to the hundreds of AASA members who replied to our AASA survey.

Project direction, editing and final production were under the supervision of AASA Associate Editor, Judy Touchton, and Associate Executive Director, Gary Marx.